



Amendment No. 7
to
Agreement No. 4700 NG150000019
for
Social Services
between
CARITAS OF AUSTIN
and the
CITY OF AUSTIN

(Behavioral Health Services- BHS)

- 1.0 The City of Austin and the Grantee hereby agree to the Agreement revisions listed below.
- 2.0 The total Agreement amount is recapped below:

Term	Agreement Change Amount	Total Agreement Amount
Basic Term: (Sept. 1, 2015 – Sept. 30, 2018)	n/a	\$ 643,377
Amendment No. 1: Add funds to Agreement and modify Exhibits	\$ 38,601	\$ 681,978
Amendment No. 2: Add funds to Agreement and modify Exhibits	\$ 10,456	\$ 692,434
Amendment No. 3: Add funds to Agreement and modify Exhibits	\$ 5,814	\$ 698,248
Amendment No. 4: Exercise Extension Option #1 (Oct. 1, 2018 – Sept. 30, 2019)	\$ 238,368	\$ 936,616
Amendment No. 5: Modify Program Work Statement Exhibit	\$ 0	\$ 936,616
Amendment No. 6: Exercise Extension Option #2 (Oct. 1, 2019 – Sept. 30, 2020)	\$ 238,368	\$ 1,174,984
Amendment No. 7: Modify Program Exhibits	\$ 0	\$ 1,174,984

- 3.0 The following changes have been made to the original Agreement EXHIBITS:

Exhibit A.1 -- Program Work Statement is deleted in its entirety and replaced with a new **Exhibit A.1 -- Program Work Statement**. *[Revised 5/12/2020]*

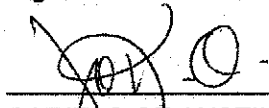
Exhibit B.1 -- Program Budget and Narrative is deleted in its entirety and replaced with a new **Exhibit B.1 -- Program Budget and Narrative**. *[Revised 5/12/2020]*

- 4.0 MBE/WBE goals were not established for this Agreement.
- 5.0 Based on the criteria in the City of Austin Living Wage Resolution #020509-91, the Living Wage requirement does not apply to this Agreement.
- 6.0 By signing this Amendment, the Grantee certifies that the Grantee and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusion records found at SAM.gov, the State of Texas, or the City of Austin.
- 7.0 All other Agreement terms and conditions remain the same.

BY THE SIGNATURES affixed below, this Amendment is hereby incorporated into and made a part of the above-referenced Agreement.

GRANTEE

Signature:



CARITAS OF AUSTIN
Jo Kathryn Quinn, President & CEO
611 Neches
Austin, TX 78701

Date: 5.13.2020

CITY OF AUSTIN

Signature:



City of Austin
Purchasing Office
PO Box 1088
Austin, TX 78767

Date: 6/8/2020

Program Work Statement

Program Goals and Objectives

BHS will provide professional mental/behavioral health counseling, substance abuse counseling, psychiatric nursing services, and peer mentoring to Caritas of Austin clients. BHS will supplement intensive case management services provided by other programs. It will help clients achieve program goals and housing stability by providing specialized support for relapse prevention, and complex behavioral health needs.

Program Clients Served

Program Serves:

The BHS target population includes individuals who are experiencing one or more of the following:

- A mental health and/or behavioral health diagnosis and do not have immediate access to public mental/behavioral health services or are otherwise underserved by those services
- Prior involvement in the criminal justice system
- Difficulty maintaining or obtaining housing and lack of or inadequate access to mental/behavioral health services is a contributing factor

To be eligible for BHS, individuals must first be enrolled in one of the following Caritas programs and get referred to BHS:

- Permanent Supportive Housing
- Housing Stability
- Supportive Services for Veteran Families
- Refugee Resettlement
- Employment

ELIGIBILITY DOCUMENTATION

Individuals who are literally homeless at program entry or enrolled in Permanent Supportive Housing are exempt for the income and residency documentation requirements, as outlined in Exhibit A.3 (Client Eligibility Requirements), and instead, must have documentation of homelessness (third party or self-reported). Clients enrolled in other qualifying programs must reside in Austin/Travis County and have an annual household income at or below 200% FPL. If during the course of BHS participation, the client's income increases beyond 200% FPL, the client will be exited by the 90th day after the increase is reported.

Program Services and Delivery

Specific project components include:

1) Case management and supports

Caritas case managers will provide pre- and post-treatment case management, coordinate transportation, employment services, and/or housing stability services

2) Psychiatric Nursing Support and Medication Maintenance

A psychiatric registered nurse will provide the following services to eligible clients:

- Serve as part of the clinical team
- Evaluate psychiatric medication compliance
- Evaluate overall client mental and physical health, i.e. taking vital signs, monitoring for medication side-effects, etc.

Program Work Statement

- Assess mental health needs
- Assess client's progress in meeting care plan goals
- Communicate regularly with the client's psychiatrist or primary care physician (as appropriate)
- Administer assessments and evaluate assessment results
- Draft case notes for the client file
- Communicate regularly with the client's Caritas case manager

3) Individual Substance Abuse/Mental Health Counseling

Professional mental health counselor(s) and/or professional Licensed Chemical Dependency Counselor(s) will provide mental health counseling, substance abuse counseling, or both to eligible clients. Clients will have counseling sessions for a period determined by the professional counselor and appropriate intervention. Most counseling sessions occur in-person, and in the home or community. Mental health counselors may also provide counseling and crisis intervention via phone and text, if deemed the most appropriate form of communication at the time by the counselor and client.

4) Substance Abuse Treatment

BHS will provide both residential and out-patient substance abuse treatment. BHS will not fund medical treatment, such as detox medications, for clients receiving these services. Substance abuse treatment services include:

- Assessment of substance abuse, mental health, and related problems
- Treatment plan development
- Professional counseling (cognitive-behavioral therapy, motivational interviewing, contingency management, etc.)
- Education regarding addiction and what to expect from treatment/recovery
- Information/referral to assist with post-treatment sobriety

5) Peer Mentoring Program

Caritas will provide access to a Peer Mentor(s) who has experienced success in mental health treatment, recovery, and housing stability. The Peer Mentor(s) would be prepared to share experience/knowledge with others at an earlier stage of mental health treatment or recovery from alcohol and/or drug dependency. Peer mentoring will provide the following services to BHS clients:

- One-on-one coaching in which a peer mentor encourages, motivates, and supports a peer with mental health/substance abuse issues who is new to housing or at-risk of losing housing stability; Peer mentors may also assist clients with tasks such as setting housing goals and solving problems directly related to housing stability

- Connecting the client with services and resources available in the community
 - Helping clients make new friends and begin building alternative social networks;
- Peer mentors may organize activities that range from opportunities to participate in team sports to family-centered holiday celebrations to payday get-togethers that are alcohol- and drug-free. These activities provide a sense of acceptance and belonging to a group, as well as the opportunity to practice new social skills.

6) Client Transportation

BHS funds may be used to provide bus passes and/or taxi vouchers so that clients can attend psychiatric appointments, counseling appointments, substance abuse treatment, and/or other mental health/substance abuse recovery appointments.

System for Collecting and Reporting Program Data

Caritas uses HMIS/ServicePoint for data collection in its social service programs and ensures that direct client services staff receives adequate training on the use of HMIS for data collection. Caritas' Program

Program Work Statement

Managers use ServicePoint as a tool for staff supervision, for program evaluation purposes, and to provide necessary data to Caritas' Grants Manager for grant reporting purposes. Upon the receipt of a grant or contract, the agency has reports designed in ServicePoint that collect the required data for reporting to different funders. Appropriate program staff is trained on the use of respective reports.

Before client data is entered into HMIS, Caritas case managers secure permission to collect and share their data via a signed HMIS Release of Information. Clients have the ability to opt-out of sharing information via HMIS. If a client opts out, client data is entered into HMIS anonymously. We are able to report on performance measures for anonymous clients. However, we cannot provide Zip Code or demographic information for anonymous clients.

An Excel database will be used to record all client data and service transactions for BHS. At program entry, the case manager will document all appropriate information, including the Daily Living Assessment 20 (DLA20) baseline score. Information will also be recorded throughout the program and at program exit.

Performance Evaluation

It is the primary responsibility of Supportive Housing program case managers to ensure that BHS performance targets are attained. Each Supportive Housing case manager has been trained on the requirements and expectations of the BHS program. Case Managers who have clients enrolled in BHS meet regularly with the professional counselor and/or psychiatric nurse to coordinate care, plan services, and make adjustments to housing stability plans. The professional counselor and/or psychiatric nurse immediately notify case managers if any kind of immediate intervention is needed.

The psychiatric nurse and professional counselor submit invoices at least monthly. The Permanent Supportive Housing Program Manager reconciles these invoices with HMIS service transactions on a monthly basis.

Case Managers meet with Peer Mentors regularly to discuss their interaction with clients. Case Managers use these meetings to provide direction to the Peer Mentors and to get qualitative data regarding client housing stability needs.

The Government Grants Manager and Permanent Supportive Housing Program Manager monitor HMIS data quality, program expenditures, and client performance at least monthly. This information gets reported to the Housing Services Director and Chief Financial Officer monthly. The Board of Directors reviews program and fiscal performance at each of their regular meetings.

Quality Improvement

In the first quarter of each calendar year, Department Directors and Program Managers evaluate each program by reviewing budgets and finance reports as well as HMIS data reports used to assess program efficacy. Reports include client assessment score changes, entry/exits into each program, increases in client income, and length of stay in programs. Gaps in services are also identified during this process. When the annual agency budget process begins in May of each year, Department Directors and Program Managers address program gaps, shift budget funding to address those gaps, and prepare any needed programmatic or personnel changes to address gaps.

Service Coordination with Other Agencies

PSH Case Managers work closely with Foundation Communities Case Managers to ensure that all available supports are provided to clients. The PSH Program Manager will ensure the Peer Mentor

Program Work Statement

program component operates to best support clients receiving peer mentoring services.

Service Collaboration with Subgrantees

This is not a formal collaboration.

Community Planning Activities

Caritas staff attends quarterly meetings with community refugee services providers such as Project Access, the Texas Office of Immigration and Refugee Affairs, and the City of Austin Refugee Clinic. The Integrated Services Program Director is a board member of Disability Rights Texas, the designated federal Protection and advocacy agency for people with disabilities in Texas.

Caritas is also significantly involved in the homeless/housing service work groups/committees that relate to the Austin/Travis County Continuum of Care. Caritas is a member of ECHO - a local collaboration of homeless service providers, interested organizations and individuals that provides leadership and engages policymakers/the community in ending homelessness.

Program Budget and Narrative

	City Funds	Other Funds	Total
Personnel			
Salaries	\$50,749.00	\$0.00	\$50,749.00
Fringe and Payroll Taxes	\$0.00	\$0.00	\$0.00
	\$50,749.00	\$0.00	\$50,749.00
Operations			
General Operations	\$177,005.00	\$0.00	\$177,005.00
Outsourced Professional Services	\$0.00	\$0.00	\$0.00
Supplemental Programmatic Services	\$0.00	\$0.00	\$0.00
Training/Travel Outside Austin and/or Travis County	\$1,614.00	\$0.00	\$1,614.00
	\$178,619.00	\$0.00	\$178,619.00
Assistance to Clients			
Rental/Mortgage Assistance	\$0.00	\$0.00	\$0.00
General Housing Assistance	\$0.00	\$0.00	\$0.00
Direct Client Assistance	\$9,000.00	\$0.00	\$9,000.00
Client Food and Beverage	\$0.00	\$0.00	\$0.00
	\$9,000.00	\$0.00	\$9,000.00
Capital Outlay			
Capital Outlay - \$5,000.00	\$0.00	\$0.00	\$0.00
	\$0.00	\$0.00	\$0.00
Deliverables Amount			
Deliverables Amount	\$0.00	\$0.00	\$0.00
	\$0.00	\$0.00	\$0.00
Subgrantees/Subrecipients			
Personnel-Sub	\$0.00	\$0.00	\$0.00
Operations-Sub	\$0.00	\$0.00	\$0.00
Direct Client Assistance-Sub	\$0.00	\$0.00	\$0.00
Other-Sub	\$0.00	\$0.00	\$0.00
	\$0.00	\$0.00	\$0.00
Program Income			
Program Income (Zero dollars budgeted for monthly credit)	\$0.00	\$0.00	\$0.00
	\$0.00	\$0.00	\$0.00
Other			
Other	\$0.00	\$0.00	\$0.00
	\$0.00	\$0.00	\$0.00
Total	\$238,368.00	\$0.00	\$238,368.00

Program Budget and Narrative

Personnel

Includes partial salary, employment taxes and fringe benefits for case managers, Program Manager, Director of Housing Services, Peer Mentor(s), administrative staff and other personnel working on the program

Operations

GENERAL OPERATIONS:

Occupancy, utilities, insurance, security, janitorial, pest control, audit, employee parking, maintenance/repairs, telephone/internet, IT hardware and software, HMIS user licenses and reporting tools, viewing and ad hoc licenses, database, supplies, postage, payroll fees, printing, reproduction, staff mileage reimbursement, translation/interpretation, in-county staff training, peer mentoring certification, substance abuse treatment services, professional counseling services, psychiatric nursing services

TRAINING/TRAVEL OUTSIDE AUSTIN and/or TRAVIS COUNTY:

Mileage reimbursement, per diem, airfare, car rental, and bus for staff to attend professional development conferences out of Austin/Travis County that are related to the program; Registration fees for conferences or training out of Austin/Travis County

Assistance to Clients

Bus passes, taxi vouchers/ride share for clients to attend mental/behavioral health related appointments, medication copays for treating mental/behavioral health conditions, phones and/or data plans for clients to access mental/behavioral health services

Capital Outlay

Deliverables Amount

Program Subgrantees

Program Income

Other



Amendment No. 6
to
Agreement No. 9100 NG150000019
for
Social Services
between
CARITAS OF AUSTIN
and the
CITY OF AUSTIN

(Behavioral Health Services- BHS)

- 1.0 The City of Austin and the Grantee hereby agree to the Agreement revisions listed below.
- 2.0 The total amount for this Amendment to the Agreement is **Two Hundred Thirty Eight Thousand Three Hundred Sixty Eight dollars (\$238,368)**. The total Agreement amount is recapped below:

Term	Agreement Change Amount	Total Agreement Amount
Basic Term: (Sept. 1, 2015 – Sept. 30, 2018)	n/a	\$ 643,377
Amendment No. 1: Add funds to Agreement and modify Exhibits	\$ 38,601	\$ 681,978
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Amendment No. 5: Modify Program Work Statement Exhibit	\$ 0	\$ 936,616
Amendment No. 6: Exercise Extension Option #2 (Oct. 1, 2019 – Sept. 30, 2020)	\$ 238,368	\$ 1,174,984

- 3.0 The following changes have been made to the original Agreement EXHIBITS:

Exhibit A.1 -- Program Work Statement is deleted in its entirety and replaced with a new **Exhibit A.1 -- Program Work Statement**. [Revised 5/28/2019]

Exhibit A.2 -- Program Performance Measures is deleted in its entirety and replaced with a new **Exhibit A.2 -- Program Performance Measures**. [Revised 5/7/2019]

Exhibit B.1 -- Program Budget and Narrative is deleted in its entirety and replaced with a new **Exhibit B.1 -- Program Budget and Narrative**. [Revised 5/7/2019]

4.0 The following Terms and Conditions have been MODIFIED:

4.1.2.1 For the Program Period of 10/1/2019 through 9/30/2020, the payment from the City to the Grantee shall not exceed \$238,368 (Two Hundred Thirty Eight Thousand Three Hundred Sixty Eight dollars).

5.0 MBE/WBE goals were not established for this Agreement.

6.0 Based on the criteria in the City of Austin Living Wage Resolution #020509-91, the Living Wage requirement does not apply to this Agreement.

7.0 By signing this Amendment, the Grantee certifies that the Grantee and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusion records found at SAM.gov, the State of Texas, or the City of Austin.

8.0 All other Agreement terms and conditions remain the same.

BY THE SIGNATURES affixed below, this Amendment is hereby incorporated into and made a part of the above-referenced Agreement.

GRANTEE

Signature: 

CARITAS OF AUSTIN
Jo Kathryn Quinn, President & Chief Executive
Officer
611 Neches
Austin, TX 78701

Date: 8.26.19

CITY OF AUSTIN

Signature: 

City of Austin
Purchasing Office
PO Box 1088
Austin, TX 78767

Date: 10/08/19

Program Work Statement

Contract Start Date

9/1/2015

Contract End Date

9/30/2020

Program Goals And Objectives

BHS will provide professional mental/behavioral health counseling, substance abuse counseling, psychiatric nursing services, and peer mentoring to Caritas of Austin clients. BHS will supplement intensive case management services provided by other programs. It will help clients achieve program goals and housing stability by providing specialized support for relapse prevention, and complex behavioral health needs.

Program Clients Served

The BHS target population includes individuals who are experiencing one or more of the following:

- A mental health and/or behavioral health diagnosis and do not have immediate access to public mental/behavioral health services or are otherwise underserved by those services
- Prior involvement in the criminal justice system
- Difficulty maintaining or obtaining housing and lack of or inadequate access to mental/behavioral health services is a contributing factor

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ELIGIBILITY DOCUMENTATION

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Program Services And Delivery

Specific project components include:

- 1) Case management and supports
Caritas case managers will provide pre- and post-treatment case management, coordinate transportation, employment services, and/or housing stability services
- 2) Psychiatric Nursing Support and Medication Maintenance
A psychiatric registered nurse will provide the following services to eligible clients:
 - Serve as part of the clinical team
 - Evaluate psychiatric medication compliance
 - Evaluate overall client mental and physical health, i.e. taking vital signs, monitoring for medication side-effects, etc.
 - Assess mental health needs
 - Assess client's progress in meeting care plan goals
 - Communicate regularly with the client's psychiatrist or primary care physician (as appropriate)
 - Administer assessments and evaluate assessment results
 - Draft case notes for the client file
 - Communicate regularly with the client's Caritas case manager
- 3) Individual Substance Abuse/Mental Health Counseling

Created 5/7/2015 12:07:00 PM

Last Modified, If Applicable 5/28/2019 10:00:00 AM

Program Work Statement

Contract Start Date 9/1/2015 **Contract End Date** 9/30/2020

Professional mental health counselor(s) and/or professional Licensed Chemical Dependency Counselor(s) will provide mental health counseling, substance abuse counseling, or both to eligible clients. Clients will have hour-long counseling sessions for a period determined by the professional counselor.

4) Substance Abuse Treatment

BHS will provide both residential and out-patient substance abuse treatment. BHS will not fund medical treatment, such as detox medications, for clients receiving these services. Substance abuse treatment services include:

- Assessment of substance abuse, mental health, and related problems
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- Professional counseling (cognitive-behavioral therapy, motivational interviewing, contingency management, etc.)
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System for Collecting and Reporting Program Data

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Performance Evaluation

Created 5/7/2015 12:07:00 PM

Last Modified, If Applicable 5/28/2019 10:00:00 AM

Program Work Statement

Contract Start Date 9/1/2015 ***Contract End Date*** 9/30/2020

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Program Performance Measures**Contract Start**
10/1/2015**Contract End**
9/30/2020**Period Performance Start**
10/1/2019**Period Performance End**
9/30/2020**Outputs**

OP #	Output Measure Description	Period Goal		
		City	Other	Total
1	Total Number of Unduplicated Clients Served	80		80

Program Performance Measures

	<i>Contract Start</i> 10/1/2015	<i>Contract End</i> 9/30/2020	<i>Period Performance Start</i> 10/1/2019	<i>Period Performance End</i> 9/30/2020
<hr/>				
Outcomes				
<i>OC Item</i>	<i>Outcome Measure Description</i>			<i>Total Program Goal</i>
1 Num	Number of individuals with improved mental health status as measured on a standardized assessment			60
1 Den	Number of individuals "initially" evaluated with a standardized assessment			80
1 Rate	Percent of individuals whose mental health status as measured on a standardized assessment improves			75

Program Budget and Narrative

Program Start 10/1/2019

Program End 9/30/2020

	City Share	Other	Total
Salary plus Benefits	\$50,749.00	\$0.00	\$50,749.00
General Operations Expenses	\$177,005.00	\$0.00	\$177,005.00
Program Subgrantees	\$0.00	\$0.00	\$0.00
Staff Travel	\$1,000.00	\$0.00	\$1,000.00
Conferences	\$614.00	\$0.00	\$614.00
Operations SubTotal	\$178,619.00	\$0.00	\$178,619.00
Food and Beverages for Clients	\$0.00	\$0.00	\$0.00
Financial Direct Assistance to Clients	\$9,000.00	\$0.00	\$9,000.00
Other Assistance	Please Specify	Please Specify	Please Specify
Other Assistance Amount	\$0.00	\$0.00	\$0.00
Direct Assistance SubTotal	\$9,000.00	\$0.00	\$9,000.00
Capital Outlay Amount	\$0.00	\$0.00	\$0.00
Total	\$238,368.00	\$0.00	\$238,368.00

Detailed Budget Narrative**Salaries plus Benefits**

Includes partial salary, employment taxes and fringe benefits for case managers, Program Manager, Director of Housing Services, Peer Mentor(s), administrative staff and other personnel working on the program

General Op Expenses

Occupancy, utilities, insurance, security, janitorial, pest control, audit, employee parking, maintenance/repairs, telephone/internet, IT hardware and software, HMIS user licenses and reporting tools, viewing and ad hoc licenses, database, supplies, postage, payroll fees, printing, reproduction, staff mileage reimbursement, translation/interpretation, in-county staff training, peer mentoring certification, substance abuse treatment services, professional counseling services, psychiatric nursing services

Program Subgrantees**Staff Travel**

Mileage reimbursement, per diem, airfare, car rental, and bus for staff to attend professional development conferences out of Austin/Travis County that are related to the program

Conferences

Registration fees for conferences or training out of Austin/Travis County

Food and Beverage**Financial Assistance**

Bus passes, taxi vouchers for clients to attend mental/behavioral health related appointments, medication copays for treating mental/behavioral health conditions

Other Assistance**Capital Outlay**

Created 5/7/2019 2:41:26 PM

Last Modified, If Applicable 5/7/2019 2:44:00 PM



Amendment No. 5
to
Agreement No. NG150000019
for
Social Services
between
CARITAS OF AUSTIN
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CITY OF AUSTIN
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2.0 The total Agreement amount is recapped below:

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Exhibit A.1 -- Program Work Statement is deleted in its entirety and replaced with a new **Exhibit A.1 -- Program Work Statement**. [Revised 1/2/2019]

4.0 MBE/WBE goals were not established for this Agreement.

5.0 Based on the criteria in the City of Austin Living Wage Resolution #020509-91, the Living Wage requirement does not apply to this Agreement.

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GRANTEE

Signature: 

CARITAS OF AUSTIN
Jo Kathryn Quinn, Executive Director
611 Neches
Austin, TX 78701

Date: 2.19.19

CITY OF AUSTIN

Signature: 

City of Austin
Purchasing Office
PO Box 1088
Austin, TX 78767

Date: 03/04/19

Program Work Statement

Contract Start Date

9/1/2015

Contract End Date

9/30/2019

Program Goals And Objectives

BHS will provide professional mental/behavioral health counseling, substance abuse counseling, psychiatric nursing services, and peer mentoring to Caritas of Austin clients. BHS will supplement intensive case management services provided by other programs. It will help clients achieve program goals and housing stability by providing specialized support for relapse prevention, and complex behavioral health needs.

Program Clients Served

The BHS target population includes individuals who are experiencing one or more of the following:

- A mental health and/or behavioral health diagnosis and do not have immediate access to public mental/behavioral health services or are otherwise underserved by those services
- Prior involvement in the criminal justice system
- Difficulty maintaining or obtaining housing and lack of or inadequate access to mental/behavioral health services is a contributing factor

To be eligible for BHS, individuals must first be enrolled in one of the following Caritas programs and get referred to BHS:

- Permanent Supportive Housing
- Housing Stability
- Supportive Services for Veteran Families
- Refugee Resettlement
- Employment

ELIGIBILITY DOCUMENTATION

Individuals who are literally homeless at program entry or enrolled in Permanent Supportive Housing are exempt for the income and residency documentation requirements, as outlined in Exhibit A.3 (Client Eligibility Requirements), and instead, must have documentation of homelessness (third party or self-reported). Clients enrolled in other qualifying programs must reside in Austin/Travis County and have an annual household income at or below 200% FPL. If during the course of BHS participation, the client's income increases beyond 200% FPL, the client will be exited by the 90th day after the increase is reported.

Program Services And Delivery

Specific project components include:

- 1) Case management and supports
Caritas case managers will provide pre- and post-treatment case management, coordinate transportation, employment services, and/or housing stability services
- 2) Psychiatric Nursing Support and Medication Maintenance
A psychiatric registered nurse will provide the following services to eligible clients:
 - Serve as part of the clinical team
 - Evaluate psychiatric medication compliance
 - Evaluate overall client mental and physical health, i.e. taking vital signs, monitoring for medication side-effects, etc.
 - Assess mental health needs
 - Assess client's progress in meeting care plan goals
 - Communicate regularly with the client's psychiatrist or primary care physician (as appropriate)
 - Administer assessments and evaluate assessment results
 - Draft case notes for the client file
 - Communicate regularly with the client's Caritas case manager

Created 5/7/2015 12:07:00 PM

Last Modified, If Applicable 1/2/2019 10:04:00 AM

Program Work Statement

Contract Start Date 9/1/2015 *Contract End Date* 9/30/2019

- 3) Individual Substance Abuse/Mental Health Counseling
Professional mental health counselor(s) and/or professional Licensed Chemical Dependency Counselor(s) will provide mental health counseling, substance abuse counseling, or both to eligible clients. Clients will have hour-long counseling sessions for a period determined by the professional counselor.
- 4) Substance Abuse Treatment
BHS will provide both residential and out-patient substance abuse treatment. BHS will not fund medical treatment, such as detox medications, for clients receiving these services. Substance abuse treatment services include:
- Assessment of substance abuse, mental health, and related problems
 - Treatment plan development
 - Professional counseling (cognitive-behavioral therapy, motivational interviewing, contingency management, etc.)
 - Education regarding addiction and what to expect from treatment/recovery
 - Information/referral to assist with post-treatment sobriety
- 5) Peer Mentoring Program
Caritas will provide access to a Peer Mentor(s) who has experienced success in mental health treatment, recovery, and housing stability. The Peer Mentor(s) would be prepared to share experience/knowledge with others at an earlier stage of mental health treatment or recovery from alcohol and/or drug dependency.
Peer mentoring will provide the following services to BHS clients:
- One-on-one coaching in which a peer mentor encourages, motivates, and supports a peer with mental health/substance abuse issues who is new to housing or at-risk of losing housing stability; Peer mentors may also assist clients with tasks such as setting housing goals and solving problems directly related to housing stability
 - Connecting the client with services and resources available in the community
 - Helping clients make new friends and begin building alternative social networks; Peer mentors may organize activities that range from opportunities to participate in team sports to family-centered holiday celebrations to payday get-togethers that are alcohol- and drug-free. These activities provide a sense of acceptance and belonging to a group, as well as the opportunity to practice new social skills.
- 6) Client Transportation
BHS funds may be used to provide bus passes and/or taxi vouchers so that clients can attend psychiatric appointments, counseling appointments, substance abuse treatment, and/or other mental health/substance abuse recovery appointments.

System for Collecting and Reporting Program Data

Caritas uses HMIS/ServicePoint for data collection in its social service programs and ensures that direct client services staff receives adequate training on the use of HMIS for data collection. Caritas' Program Managers use ServicePoint as a tool for staff supervision, for program evaluation purposes, and to provide necessary data to Caritas' Grants Manager for grant reporting purposes. Upon the receipt of a grant or contract, the agency has reports designed in ServicePoint that collect the required data for reporting to different funders. Appropriate program staff is trained on the use of respective reports.

Before client data is entered into HMIS, Caritas case managers secure permission to collect and share their data via a signed HMIS Release of Information. Clients have the ability to opt-out of sharing information via HMIS. If a client opts out, client data is entered into HMIS anonymously. We are able to report on performance measures for anonymous clients. However, we cannot provide Zip Code or demographic information for anonymous clients.

An Excel database will be used to record all client data and service transactions for BHS. At program entry, the case manager will document all appropriate information, including the Daily Living Assessment 20 (DLA20) baseline score. Information will also be recorded throughout the program and at program exit.

Created 5/7/2015 12:07:00 PM

Last Modified, If Applicable 1/2/2019 10:04:00 AM

Program Work Statement

Contract Start Date

9/1/2015

Contract End Date

9/30/2019

Performance Evaluation

It is the primary responsibility of Supportive Housing program case managers to ensure that BHS performance targets are attained. Each Supportive Housing case manager has been trained on the requirements and expectations of the BHS program.

Case Managers who have clients enrolled in BHS meet regularly with the professional counselor and/or psychiatric nurse to coordinate care, plan services, and make adjustments to housing stability plans. The professional counselor and/or psychiatric nurse immediately notify case managers if any kind of immediate intervention is needed.

The psychiatric nurse and professional counselor submit invoices at least monthly. The Permanent Supportive Housing Program Manager reconciles these invoices with HMIS service transactions on a monthly basis.

Case Managers meet with Peer Mentors regularly to discuss their interaction with clients. Case Managers use these meetings to provide direction to the Peer Mentors and to get qualitative data regarding client housing stability needs.

The Government Grants Manager and Permanent Supportive Housing Program Manager monitor HMIS data quality, program expenditures, and client performance at least monthly. This information gets reported to the Housing Services Director and Chief Financial Officer monthly. The Board of Directors reviews program and fiscal performance at each of their regular meetings.

Quality Improvement

In the first quarter of each calendar year, Department Directors and Program Managers evaluate each program by reviewing budgets and finance reports as well as HMIS data reports used to assess program efficacy. Reports include client SSOM score changes, entry/exits into each program, increases in client income, and length of stay in programs. Gaps in services are also identified during this process. When the annual agency budget process begins in May of each year, Department Directors and Program Managers address program gaps, shift budget funding to address those gaps, and prepare any needed programmatic or personnel changes to address gaps.

Service Coordination with Other Agencies

PSH Case Managers work closely with Foundation Communities Case Managers to ensure that all available supports are provided to clients. The PSH Program Manager will ensure the Peer Mentor program component operates to best support clients receiving peer mentoring services.

Service Collaboration with Other Agencies

This is not a formal collaboration.

Community Planning Activities

Caritas staff attends quarterly meetings with community refugee services providers such as Project Access, the Texas Office of Immigration and Refugee Affairs, and the City of Austin Refugee Clinic. The Integrated Services Program Director is a board member of Disability Rights Texas, the designated federal Protection and advocacy agency for people with disabilities in Texas.

Caritas is also significantly involved in the homeless/housing service work groups/committees that relate to the Austin/Travis County Continuum of Care. Caritas is a member of ECHO - a local collaboration of homeless service providers, interested organizations and individuals that provides leadership and engages policymakers/the community in ending homelessness.



Amendment No. 4
to
Agreement No. NG150000019
for
Social Services
between
CARITAS OF AUSTIN
and the
CITY OF AUSTIN
(Behavioral Health Services- BHS)

- 1.0 The City of Austin and the Grantee hereby agree to the Agreement revisions listed below.
- 2.0 The total amount for this Amendment to the Agreement is **Two Hundred Thirty Eight Thousand Three Hundred Sixty Eight dollars (\$238,368)**. The total Agreement amount is recapped below:

Term	Agreement Change Amount	Total Agreement Amount
Basic Term: (Sept. 1, 2015 – Sept. 30, 2018)	n/a	\$ 643,377
Amendment No. 1: Add funds to Agreement and modify Exhibits	\$ 38,601	\$ 681,978
Amendment No. 2: Add funds to Agreement and modify Exhibits	\$ 10,456	\$ 692,434
Amendment No. 3: Add funds to Agreement and modify Exhibits	\$ 5,814	\$ 698,248
Amendment No. 4: Exercise Extension Option #1 (Oct. 1, 2018 – Sept. 30, 2019)	\$ 238,368	\$ 936,616

- 3.0 The following changes have been made to the original Agreement EXHIBITS:

Exhibit A.2 -- Program Performance Measures is deleted in its entirety and replaced with a new **Exhibit A.2 -- Program Performance Measures**. [Revised 6/12/2018]

Exhibit B.1 -- Program Budget and Narrative is deleted in its entirety and replaced with a new **Exhibit B.1 -- Program Budget and Narrative**. [Revised 6/12/2018]

- 4.0 The following Terms and Conditions have been MODIFIED:

4.1.2.1 For the Program Period of 10/1/2018 through 9/30/2019, the payment from the City to the Grantee shall not exceed \$238,368 (*Two Hundred Thirty Eight Thousand Three Hundred Sixty Eight dollars*).

- 5.0 MBE/WBE goals were not established for this Agreement.

- 6.0 Based on the criteria in the City of Austin Living Wage Resolution #020509-91, the Living Wage requirement does not apply to this Agreement.
- 7.0 By signing this Amendment, the Grantee certifies that the Grantee and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusion records found at SAM.gov, the State of Texas, or the City of Austin.
- 8.0 All other Agreement terms and conditions remain the same.

BY THE SIGNATURES affixed below, this Amendment is hereby incorporated into and made a part of the above-referenced Agreement.

GRANTEE

Signature: 

CARITAS OF AUSTIN
Jo Kathryn Quinn, Executive Director
611 Neches
Austin, TX 78701

Date: 7.12.18

CITY OF AUSTIN

Signature: 

City of Austin
Purchasing Office
PO Box 1088
Austin, TX 78767

Date: 09/12/18

Program Performance Measures**Contract Start**
10/1/2015**Contract End**
9/30/2019**Period Performance Start**
10/1/2018**Period Performance End**
9/30/2019**Outputs**

OP #	Output Measure Description	Period Goal		
		City	Other	Total
1	Total Number of Unduplicated Clients Served	80		80

Program Performance Measures**Contract Start**
10/1/2015**Contract End**
9/30/2019**Period Performance Start**
10/1/2018**Period Performance End**
9/30/2019**Outcomes**

OC Item	Outcome Measure Description	Total Program Goal
1 Num	Number of individuals with improved mental health status as measured on a standardized assessment	60
1 Den	Number of individuals "initially" evaluated with a standardized assessment	80
1 Rate	Percent of individuals whose mental health status as measured on a standardized assessment improves	75

Program Budget and Narrative

Program Start 10/1/2018

Program End 9/30/2019

	City Share	Other	Total
Salary plus Benefits	\$50,749.00	\$0.00	\$50,749.00
General Operations Expenses	\$177,005.00	\$0.00	\$177,005.00
Program Subgrantees	\$0.00	\$0.00	\$0.00
Staff Travel	\$1,000.00	\$0.00	\$1,000.00
Conferences	\$614.00	\$0.00	\$614.00
Operations SubTotal	\$178,619.00	\$0.00	\$178,619.00
Food and Beverages for Clients	\$0.00	\$0.00	\$0.00
Financial Direct Assistance to Clients	\$9,000.00	\$0.00	\$9,000.00
Other Assistance	Please Specify	Please Specify	Please Specify
Other Assistance Amount	\$0.00	\$0.00	\$0.00
Direct Assistance SubTotal	\$9,000.00	\$0.00	\$9,000.00
Capital Outlay Amount	\$0.00	\$0.00	\$0.00
Total	\$238,368.00	\$0.00	\$238,368.00

Detailed Budget Narrative

Salaries plus Benefits

Includes partial salary, employment taxes and fringe benefits for case managers, Program Manager, Director of Housing Services, Peer Mentor(s), administrative staff and other personnel working on the program

General Op Expenses

Occupancy, utilities, insurance, security, janitorial, pest control, audit, employee parking, maintenance/repairs, telephone/internet, IT hardware and software, HMIS user licenses and reporting tools, viewing and ad hoc licenses, database, supplies, postage, payroll fees, printing, reproduction, staff mileage reimbursement, translation/interpretation, in-county staff training, peer mentoring certification, substance abuse treatment services, professional counseling services, psychiatric nursing services

Program Subgrantees

Staff Travel

Mileage reimbursement, per diem, airfare, car rental, and bus for staff to attend professional development conferences out of Austin/Travis County that are related to the program

Conferences

Registration fees for conferences or training out of Austin/Travis County

Food and Beverage

Financial Assistance

Bus passes, taxi vouchers for clients to attend mental/behavioral health related appointments, medication copays for treating mental/behavioral health conditions

Other Assistance

Capital Outlay

Created 6/12/2018 3:04:10 PM

Last Modified, If Applicable 6/12/2018 3:11:00 PM



Amendment No. 3
to
Agreement No. NG150000019
for
Social Services
between
CARITAS OF AUSTIN
and the
CITY OF AUSTIN
(Behavioral Health Services- BHS)

- 1.0 The City of Austin and the Grantee hereby agree to the Agreement revisions listed below.
- 2.0 The total amount for this Amendment to the Agreement is **Five Thousand Eight Hundred Fourteen dollars (\$5,814)**. The total Agreement amount is recapped below:

Term	Agreement Change Amount	Total Agreement Amount
Basic Term: (Sept. 1, 2015 – Sept. 30, 2018)	n/a	\$ 643,377
Amendment No. 1: Add funds to Agreement and modify Exhibits	\$ 38,601	\$ 681,978
Amendment No. 2: Add funds to Agreement and modify Exhibits	\$ 10,456	\$ 692,434
Amendment No. 3: Add funds to Agreement and modify Exhibits	\$ 5,814	\$ 698,248

- 3.0 The following changes have been made to the original Agreement EXHIBITS:

Exhibit B.1 -- Program Budget and Narrative is deleted in its entirety and replaced with a new **Exhibit B.1 -- Program Budget and Narrative**. [Revised 12/11/2017]

- 4.0 The following Terms and Conditions have been MODIFIED:

Section 4.1 **Agreement Amount**. The Grantee acknowledges and agrees that, notwithstanding any other provision of this Agreement, the maximum amount payable by the City under this Agreement for the initial 37 month term shall not exceed the amount approved by City Council, which is **\$698,248 (Six Hundred Ninety Eight Thousand Two Hundred Forty Eight dollars)**, and \$238,368 (*Two Hundred Thirty Eight Thousand Three Hundred Sixty Eight dollars*) per 12 month extension option, for a total Agreement amount of \$1,413,352. Continuation of the Agreement beyond the initial 37 months is specifically contingent upon the availability and allocation of funding, and authorization by City Council.

4.1.2.3 For the Program Period of 10/1/2017 through 9/30/2018, the payment from the City to the Grantee shall not exceed \$238,368 (Two Hundred Thirty Eight Thousand Three Hundred Sixty Eight dollars).

5.0 MBE/WBE goals were not established for this Agreement.

6.0 Based on the criteria in the City of Austin Living Wage Resolution #020509-91, the Living Wage requirement does not apply to this Agreement.

7.0 By signing this Amendment, the Grantee certifies that the Grantee and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusion records found at SAM.gov, the State of Texas, or the City of Austin.

8.0 All other Agreement terms and conditions remain the same.

BY THE SIGNATURES affixed below, this Amendment is hereby incorporated into and made a part of the above-referenced Agreement.

GRANTEE

Signature: 

CARITAS OF AUSTIN
Jo Kathryn Quinn, Executive Director
611 Neches
Austin, TX 78701

Date: 12.13.17

CITY OF AUSTIN

Signature: 

City of Austin
Purchasing Office
PO Box 1088
Austin, TX 78767

Date: 02/15/18

Program Budget and Narrative

	<i>1</i>	<i>Period 2</i>	<i>3</i>	<i>Contract Start Contract End</i>	<i>9/1/2015 9/30/2018</i>
<i>Period Start Date</i>	9/1/2015	10/1/2016	10/1/2017		
<i>Period End Date</i>	9/30/2016	9/30/2017	9/30/2018		<i>Total</i>
Salary plus Benefits	\$34,890.00	\$50,749.00	\$50,749.00		\$136,388.00
<i>General Operations Expenses</i>	\$175,822.00	\$171,191.00	\$177,005.00		\$524,018.00
<i>Program Subgrantees</i>	\$0.00	\$0.00	\$0.00		\$0.00
<i>Staff Travel</i>	\$1,000.00	\$1,000.00	\$1,000.00		\$3,000.00
<i>Conferences</i>	\$614.00	\$614.00	\$614.00		\$1,842.00
Operations SubTotal	\$177,436.00	\$172,805.00	\$178,619.00		\$528,860.00
<i>Food and Beverages for Clients</i>	\$0.00	\$0.00	\$0.00		\$0.00
<i>Financial Direct Assistance to Clients</i>	\$15,000.00	\$9,000.00	\$9,000.00		\$33,000.00
<i>Other Assistance Amount</i>	\$0.00	\$0.00	\$0.00		\$0.00
Direct Assistance SubTotal	\$15,000.00	\$9,000.00	\$9,000.00		\$33,000.00
Capital Outlay Amount	\$0.00	\$0.00	\$0.00		\$0.00
Total	\$227,326.00	\$232,554.00	\$238,368.00		\$698,248.00
<i>Total Period Percentage</i>	32.56	33.31	34.14		

Detailed Budget Narrative

Salaries plus Benefits	<i>Includes partial salary, employment taxes and fringe benefits for case managers, Program Manager, Director of Housing Services, Peer Mentor(s), administrative staff and other personnel working on the program</i>
General Op Expenses	<i>Occupancy, utilities, insurance, security, janitorial, pest control, audit, employee parking, maintenance/repairs, telephone/internet, IT hardware and software, HMIS user licenses and reporting tools, viewing and ad hoc licenses, database, supplies, postage, payroll fees, printing, reproduction, staff mileage reimbursement, translation/interpretation, in-county staff training, peer mentoring certification, substance abuse treatment services, professional counseling services, psychiatric nursing services</i>
Program Subgrantees	
Staff Travel	<i>Mileage reimbursement, per diem, airfare, car rental, and bus for staff to attend professional development conferences out of Austin/Travis County that are related to the program</i>
Conferences	<i>Registration fees for conferences or training out of Austin/Travis County</i>
Food and Beverage	
Financial Assistance	<i>Bus passes, taxi vouchers for clients to attend mental/behavioral health related appointments, medication copays for treating mental/behavioral health conditions</i>
Other Assistance	
Capital Outlay	

Applications Funded in Response to RFP EAD0116
Self Sufficiency Social Services

Evaluation Score	Agency Name	Program Name	37-Month Funding	3, 12-Month Extension Options	Total Contract Amount
118	Youth & Family Alliance (Lifeworks)	Collective Impact Continuum	\$2,428,800	\$809,600	\$4,857,600
115	Meals on Wheels and More	Meals on Wheels	\$1,302,849	\$434,283	\$2,605,698
115	Any Baby Can	Ready Families Collaborative (C-11)	\$4,459,737	\$1,486,579	\$8,919,474
115	Austin Child Guidance Center	Underserved Families Mental Health Program	\$536,376	\$178,792	\$1,072,752
114	Casa Marianella	Emergency Shelter	\$544,320	\$181,440	\$1,088,640
113	Communities in Schools	Case Management & Pebble Project	\$1,427,469	\$475,823	\$2,854,938
113	Travis County Domestic ... (SafePlace)	Expect Respect	\$494,760	\$164,920	\$989,520
113	Theatre Action Project (Creative Action)	Del Valle Collaborative Afterschool Program (C-3)	\$845,934	\$281,978	\$1,691,868
113	Family Eldercare	Living Well Collaborative (C-6)	\$514,764	\$171,588	\$1,029,528
111	Travis County Domestic ... (SafePlace)	Victim Services	\$2,166,000	\$722,000	\$4,332,000
111	Family Eldercare	Counseling Services	\$164,955	\$54,985	\$329,910
111	Caritas of Austin	BSS+ (C-12)	\$9,992,721	\$3,330,907	\$19,985,442
110	Austin Recovery	Self Sufficiency Continuum Services	\$1,371,249	\$457,083	\$2,742,498
110	Caritas of Austin	Mental and Behavioral Health Services	\$643,377	\$214,459	\$1,286,754
110	The ARC of the Capital Area	Family & Juvenile Transition Services	\$183,726	\$61,242	\$367,452
109	Family Eldercare	Money Management	\$210,000	\$70,000	\$420,000
109	Foundation Communities	Afterschool Summer Youth Program	\$420,000	\$140,000	\$840,000
109	Capital Area Food Bank	Food Bank Services	\$681,141	\$227,047	\$1,362,282
109	Foundation Communities	Tax Prep & Financial Programs	\$371,250	\$123,750	\$742,500
108	VinCare Services of Austin	Saint Louise House	\$273,000	\$91,000	\$546,000
107	Helping the Aging, Needy and Disabled (HAND)	Charitable Care/Sliding Scale	\$120,933	\$40,311	\$241,866
106	Samaritan Center	Whole Body Mental Health Services	\$285,390	\$95,130	\$570,780
106	Foundation for the Homeless	Family Rehousing Initiative	\$713,958	\$237,986	\$1,427,916
106	Austin Children's Shelter	Wrap Around Residential Program	\$264,600	\$88,200	\$529,200
105	Planned Parenthood	Sisters Saving Sisters Program	\$144,612	\$48,204	\$289,224
105	Family Eldercare	Medication Management	\$163,800	\$54,600	\$327,600

Evaluation Score	Agency Name	Program Name	37-Month Funding	3, 12-Month Extension Options	Total Contract Amount
105	Workforce Solutions	Workforce and Education Readiness Continuum (C-13)	\$7,520,967	\$2,506,989	\$15,041,934
104	Salvation Army	Pathways & Partnerships	\$681,864	\$227,288	\$1,363,728
103	Court Appointed Special Advocates (CASA)	Transitioning Youth Program	\$120,000	\$40,000	\$240,000
102	Goodwill Industries Central Texas	Ready to Work	\$2,095,977	\$698,659	\$4,191,954
99	Easter Seals	Housing Services, Early Childhood, Comprehensive Outpatient Rehab, Youth Leaving Services, Adult Services	\$1,002,735	\$334,245	\$2,005,470
97	African American Youth Harvest Foundation	Enrichment of Low Income Youth	\$489,774	\$163,258	\$979,548
97	Texas Rio Grande Legal Aid	Legal Services	\$548,346	\$182,782	\$1,096,692
92	YWCA	YW Counseling & Referral Ctr (YWERC)	\$348,714	\$116,238	\$697,428
90	Austin ISD	Victory	\$615,600	\$205,200	\$1,231,200
82	Austin ISD	Primetime	\$1,921,833	\$640,611	\$3,843,666
82	Child Inc.	Early Steps to School Readiness Summer and After School Program	\$1,293,750	\$431,250	\$2,587,500
*	Council on At-Risk Youth (CARY)	Ounce of Prevention	\$480,000	\$160,000	\$960,000
*	River City Youth Foundation	Dove Springs	\$350,400	\$116,800	\$700,800
Total					\$96,391,362
* Council on At-Risk Youth (CARY) and River City Youth Foundation were disqualified from the RFA process by the Purchasing Office due to non-compliance with the solicitation requirements.					



Amendment No. 2
to
Contract No. NG150000019
for
Social Services
between
CARITAS OF AUSTIN
and the
CITY OF AUSTIN
(Behavioral Health Services- BHS)

- 1.0 The City of Austin and the Contractor hereby agree to the contract revisions listed below.
- 2.0 The total amount for this Amendment to the Agreement is **Ten Thousand Four Hundred Fifty Six dollars (\$10,456)**. The total Agreement amount is recapped below:

Term	Contract Change Amount	Total Contract Amount
Basic Term: (Sept. 1, 2015 – Sept. 30, 2018)	n/a	\$ 643,377
Amendment No. 1: Add funds to Contract and modify Exhibits	\$ 38,601	\$ 681,978
Amendment No. 2: Add funds to Contract and modify Exhibits	\$ 10,456	\$ 692,434

- 3.0 The following changes have been made to the original contract EXHIBITS:

Exhibit A.1 -- Program Work Statement is deleted in its entirety and replaced with a new **Exhibit A.1 -- Program Work Statement**. [Revised 1/19/2017]

Exhibit B.1 -- Program Budget and Narrative is deleted in its entirety and replaced with a new **Exhibit B.1 -- Program Budget and Narrative**. [Revised 1/23/2017]

Exhibit E – Business Associate Agreement is added to the Agreement.

- 4.0 The following Terms and Conditions have been MODIFIED:

Section 1.2 **Responsibilities of the Grantee**. The Grantee shall provide all technical and professional expertise, knowledge, management, and other resources required for accomplishing all aspects of the tasks and associated activities identified in the Agreement Exhibits. The Grantee shall assure that all Agreement provisions are met by any Subgrantee performing services for the Grantee.

Section 4.1 Agreement Amount. The Grantee acknowledges and agrees that, notwithstanding any other provision of this Agreement, the maximum amount payable by the City under this Agreement for the initial 37 month term shall not exceed the amount approved by City Council, which is **\$692,434 (Six Hundred Ninety Two Thousand Four Hundred Thirty Four dollars)**, and \$232,554 (*Two Hundred Thirty Two Thousand Five Hundred Fifty Four dollars*) per 12 month extension option, for a total Agreement amount of \$1,390,096. Continuation of the Agreement beyond the initial 37 months is specifically contingent upon the availability and allocation of funding, and authorization by City Council.

Section 4.1.1.2 Transfers between or among the approved budget categories in excess of 10% or more than \$50,000 will require the City Agreement Manager's approval, and must meet all of the conditions outlined in Section 4.1.1.1 (ii) and (iii) above.

- i. The Grantee must submit a Budget Revision Form to the City prior to the submission of the Grantee's first monthly billing to the City following the transfer.

Section 4.1.2 Payment to the Grantee shall be made in the following increments:

4.1.2.2 For the Program Period of 10/1/2016 through 9/30/2017, the payment from the City to the Grantee shall not exceed \$232,554 (*Two Hundred Thirty Two Thousand Five Hundred Fifty Four dollars*);

4.1.2.3 For the Program Period of 10/1/2017 through 9/30/2018, the payment from the City to the Grantee shall not exceed \$232,554 (*Two Hundred Thirty Two Thousand Five Hundred Fifty Four dollars*).

Section 4.3.1 All requests accepted and approved for payment by the City will be paid within 30 calendar days of the City's receipt of the deliverables or of the invoice, whichever is later. Requests for payment received without the information required in Section 4.2 cannot be processed, will be returned to the Grantee, and City will make no payment in connection with such request.

Section 4.4 Non-Appropriation. The awarding or continuation of this Agreement is dependent upon the availability of funding and authorization by Council. The City's payment obligations are payable only and solely from funds appropriated and available for this Agreement. The absence of appropriated or other lawfully available funds shall render the Agreement null and void to the extent funds are not appropriated or available and any deliverables delivered but unpaid shall be returned to the Grantee. The City shall provide the Grantee written notice of the failure of the City to make an adequate appropriation for any fiscal year to pay the amounts due under the Agreement, or the reduction of any appropriation to an amount insufficient to permit the City to pay its obligations under the Agreement. In the event of non- or inadequate appropriation of funds, there will be no penalty or removal fees charged to the City.

Section 4.7.1 The City agrees to pay Grantee for services rendered under this Agreement and to reimburse Grantee for actual, eligible expenses incurred and paid in accordance with all terms and conditions of this Agreement. The City shall not be liable to Grantee for any costs incurred by Grantee which are not reimbursable as set forth in Section 4.8.

Section 4.7.4 The City shall not be liable to Grantee for any costs which have been paid under other agreements or from other funds. In addition, the City shall not be liable for any costs incurred by Grantee which were: a) incurred prior to the effective date of this Agreement or outside the Agreement period as referenced in Sections 4.1.2 and 4.8.1., or b) not billed to the City within 5 business days before the due date for the Grantee's annual Contract Progress Report or Contract Closeout Summary Report, whichever is applicable.

Section 4.7.6 Grantee shall deposit and maintain all funds received under this Agreement in either a separate numbered bank account or a general operating account, either of which shall be supported with the maintenance of a separate accounting with a specific chart which reflects specific revenues and expenditures for the monies received under this Agreement. The Grantee's accounting system must identify the specific expenditures, or portions of expenditures, against which funds under this Agreement are disbursed. Grantee must be able to produce an accounting system-generated report of exact expenses or portions of expenses charged to the City for any given time period.

Section 4.8.1 Reimbursement Only. Expenses and/or expenditures shall be considered reimbursable only if incurred during the current Program Period identified in Section 4.1.2, directly and specifically in the performance of this Agreement, and in conformance with the Agreement Exhibits. Grantee agrees that, unless otherwise specifically provided for in this Agreement, payment by the City under the terms of this Agreement is made on a reimbursement basis only; Grantee must have incurred and paid costs prior to those costs being invoiced and considered allowable under this Agreement and subject to payment by the City. Expenses incurred during the Program Period may be paid up to 30 days after the end of the Program Period and included in the Final Payment Request for the Program Period, which shall be due no later than 5 p.m. CST 5 business days before the due date for the Grantee's annual Contract Progress Report or Contract Closeout Summary Report, whichever is applicable.

Section 4.8.3 The City's prior written authorization is required in order for the following to be considered allowable costs. Inclusion in the budget within this Agreement constitutes "written authorization." The item shall be specifically identified in the budget. The City shall have the authority to make the final determination as to whether an expense is an allowable cost.

1. Alteration, construction, or relocation of facilities
2. Cash payments, including cash equivalent gift cards such as Visa, MasterCard and American Express
3. Equipment and other capital expenditures.
4. Interest, other than mortgage interest as part of a pre-approved budget under this Agreement
5. Organization costs (costs in connection with the establishment or reorganization of an organization)
6. Purchases of tangible, nonexpendable property, including fax machines, stereo systems, cameras, video recorder/players, microcomputers, software, printers, microscopes, oscilloscopes, centrifuges, balances and incubator, or any other item having a useful life of more than one year and an acquisition cost, including freight, of over \$5,000
7. Selling and marketing
8. Travel/training outside Travis County

Section 4.8.4 The following types of expenses are specifically **not allowable** with City funds under this Agreement. The City shall have the authority to make the final determination as to whether an expense is an allowable cost.

1. Alcoholic beverages
2. Bad debts
3. Compensation of trustees, directors, officers, or advisory board members, other than those acting in an executive capacity
4. Contingency provisions (funds). (Self-insurance reserves and pension funds are allowable.)
5. Defense and prosecution of criminal and civil proceedings, claims, appeals and patent infringement
6. Deferred costs
7. Depreciation

8. Donations and contributions including donated goods or space
9. Entertainment costs, other than expenses related to client incentives
10. Fines and penalties (including late fees)
11. Fundraising and development costs
12. Goods or services for officers' or employees' personal use
13. Housing and personal living expenses for organization's officers or employees
14. Idle facilities and idle capacity
15. Litigation-related expenses (including personnel costs) in action(s) naming the City as a Defendant
16. Lobbying or other expenses related to political activity
17. Losses on other agreements or casualty losses
18. Public relations costs, except reasonable, pre-approved advertising costs related directly to services provided under this Agreement
19. Taxes, other than payroll and other personnel-related levies
20. Travel outside of the United States of America

Section 4.9.5 Grantee shall provide the City with a copy of the completed Administrative and Fiscal Review (AFR) using the forms shown at <http://www.ckodm.com/austin/>, and required AFR Attachments, including a copy of the Grantee's completed Internal Revenue Service Form 990 or 990EZ (Return of Organization Exempt from Income Tax) if applicable, for each calendar year to be due in conjunction with submission of the Grantee's annual financial audit report or financial review report as outlined in Section 4.12.4. If Grantee filed a Form 990 or Form 990EZ extension request, Grantee shall provide the City with a copy of that application of extension of time to file (IRS Form 2758) within 30 days of filing said form(s), and a copy of the final IRS Form 990 document(s) immediately upon completion.

Section 4.10.1 Grantee shall maintain written policies and procedures approved by its governing body and shall make copies of all policies and procedures available to the City upon request. At a minimum, written policies shall exist in the following areas: Financial Management; Subcontracting and/or Procurement; Equal Employment Opportunity; Personnel and Personnel Grievance; Nepotism; Non-Discrimination of Clients; Client Grievance; Drug Free Workplace; the Americans with Disabilities Act; Conflict of Interest; Whistleblower; and Criminal Background Checks.

Section 4.11.2 The City expressly reserves the right to monitor client-level data related to services provided under this Agreement. If the Grantee asserts that client-level data is legally protected from disclosure to the City, a specific and valid legal reference to this assertion must be provided and is subject to acceptance by the City's Law Department.

Section 4.11.3 Grantee shall provide the City with copies of all evaluation or monitoring reports received from other funding sources during the Agreement Term upon request following the receipt of the final report.

Section 4.12.2 If Grantee is not subject to the Single Audit Act, and expends \$750,000 or more during the Grantee's fiscal year, then Grantee shall have a full financial audit performed in accordance with Generally Accepted Auditing Standards (GAAS). If less than \$750,000 is expended, then a financial review is acceptable, pursuant to the requirements of this Agreement.

Section 4.12.4 Grantee must submit 1 Board-approved, bound hard copy of a complete financial audit report or financial review report, to include the original auditor Opinion Letter/Independent Auditor's Report within 270 calendar days of the end of Grantee's fiscal year, unless alternative arrangements are approved in writing by the City. The financial audit report or financial review report must include the Management Letter/Internal Controls Letter, if one was issued by the auditor. Grantee may not submit electronic copies of financial audit reports or financial review

reports to the City. Financial audit reports or financial review reports must be provided in hard copy, and either mailed or hand-delivered to the City.

Section 4.12.6 The City will contact the Board Chair to verify that the auditor presented the financial audit report/financial review report to the Grantee's Board of Directors or a committee of the Board.

- i. Grantee's Board Chair must submit a signed and dated copy of the APH Board Certification form to the City as verification.

A signed and dated copy of the APH Board Certification form will be due to the City with the financial audit report/financial review report. The City will deem the financial audit report/financial review report incomplete if the Grantee fails to submit the Board Certification form, as required by this Section.

Section 8.6 **Business Continuity**. Grantee warrants that it has adopted a business continuity plan that describes how Grantee will continue to provide services in the event of an emergency or other unforeseen event, and agrees to maintain the plan on file for review by the City. Grantee shall provide a copy of the plan to the City's Agreement Manager upon request at any time during the term of this Agreement, and the requested information regarding the Business Continuity Plan shall appear in the annual Administrative and Fiscal Review document.

Section 8.21.1.4 require that all Subgrantees obtain and maintain, throughout the term of their Subagreement, insurance in the type required by this Agreement, and in amounts appropriate for the amount of the Subagreement, with the City being a named insured as its interest shall appear;

5.0 The following Terms and Conditions have been ADDED to the Agreement:

Section 4.3.3.8 identification of previously reimbursed expenses determined to be unallowable after payment was made.

Section 4.10.2 Grantee shall provide the City with copies of revised Articles of Incorporation and Doing Business As (DBA) certificates (if applicable) within 14 calendar days of receipt of the notice of filing by the Secretary of State's office. Grantee shall provide the City with copies of revised By-Laws within 14 calendar days of their approval by the Grantee's governing body.

Section 8.6.1 Grantee agrees to participate in the City's Emergency Preparedness and Response Plan and other disaster planning processes. Grantee participation includes assisting the City to provide disaster response and recovery assistance to individuals and families impacted by manmade or natural disasters.

Section 8.21.1.6 maintain and make available to the City, upon request, Certificates of Insurance for all Subgrantees.

Section 8.27 **Public Information Act**. Grantee acknowledges that the City is required to comply with Chapter 552 of the Texas Government Code (Public Information Act). Under the Public Information Act, this Agreement and all related information within the City's possession or to which the City has access are presumed to be public and will be released unless the information is subject to an exception described in the Public Information Act.

Section 8.28 **HIPAA Standards**. As applicable, Grantee and Subgrantees are required to develop and maintain administrative safeguards to ensure the confidentiality of all protected client information, for both electronic and non-electronic records, as established in the Health Insurance Portability and Accountability Act (HIPAA) Standards CFR 160 and 164, and to

comply with all other applicable federal, state, and local laws and policies applicable to the confidentiality of protected client information. Grantee must maintain HIPAA-compliant Business Associate agreements with each entity with which it may share any protected client information.

8.28.1 Business Associate Agreement. If performance of this Agreement involves the use or disclosure of Protected Health Information (PHI), as that term is defined in 45 C.F.R. § 160.103, then Grantee acknowledges and agrees to comply with the terms and conditions contained in the Business Associate Agreement, attached as Exhibit E.

Section 8.29 Political and Sectarian Activity. No portion of the funds received by the Grantee under this Agreement shall be used for any political activity (including, but not limited to, any activity to further the election or defeat of any candidate for public office) or any activity undertaken to influence the passage, defeat, or final content of legislation; or for any sectarian or religious purposes.

Section 8.30 Culturally and Linguistically Appropriate Standards (CLAS). The City is committed to providing effective, equitable, understandable and respectful quality care and services that are responsive to diverse cultural beliefs and practices, preferred languages, health literacy, and other communication needs. This commitment applies to services provided directly by the City as well as services provided through its Grantees. Grantee and its Subgrantees agree to implement processes and services in a manner that is culturally and linguistically appropriate and competent. Guidance on adopting such standards and practices are available at the U.S. Department of Health and Human Services Office of Minority Health's website at: <https://minorityhealth.hhs.gov/omh/browse.aspx?lvl=1&lvlid=6>.

In some instances, failure to provide language assistance services may have the effect of discriminating against persons on the basis of their natural origin. Guidelines for serving individuals with Limited English Proficiency (LEP) are available at <https://www.lep.gov/faqs/faqs.html>.

6.0 MBE/WBE goals were not established for this Contract.

7.0 Based on the criteria in the City of Austin Living Wage Resolution #020509-91, the Living Wage requirement does not apply to this Contract.

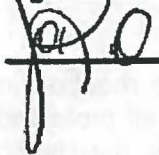
8.0 By signing this Amendment, the Contractor certifies that the Contractor and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusion records found at SAM.gov, the State of Texas, or the City of Austin.

9.0 All other Contract terms and conditions remain the same.

BY THE SIGNATURES affixed below, this Amendment is hereby incorporated into and made a part of the above-referenced contract.

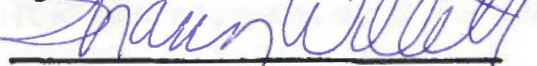
CONTRACTOR

Signature:



CITY OF AUSTIN

Signature:



CARITAS OF AUSTIN
Jo Kathryn Quinn, Executive Director
611 Neches
Austin, TX 78701

Date: 3.3.17

City of Austin
Purchasing Office
PO Box 1088
Austin, TX 78767

Date: 4-8-17

Program Work Statement

Contract Start Date

9/1/2015

Contract End Date

9/30/2018

Program Goals And Objectives

BHS will provide professional mental/behavioral health counseling, substance abuse counseling, psychiatric nursing services, and peer mentoring to Caritas of Austin clients. BHS will supplement intensive case management services provided by other programs. It will help clients achieve program goals and housing stability by providing specialized support for relapse prevention, and complex behavioral health needs.

Program Clients Served

The BHS target population includes individuals who are experiencing one or more of the following:

- A mental health and/or behavioral health diagnosis and do not have immediate access to public mental/behavioral health services or are otherwise underserved by those services
- Prior involvement in the criminal justice system
- Difficulty maintaining or obtaining housing and lack of or inadequate access to mental/behavioral health services is a contributing factor

To be eligible for BHS, individuals must first be enrolled in one of the following Caritas programs and get referred to BHS:

- oPermanent Supportive Housing
- oHousing Stability
- oSupportive Services for Veteran Families
- oRefugee Resettlement
- oEmployment

ELIGIBILITY DOCUMENTATION

Individuals who are literally homeless at program entry or enrolled in Permanent Supportive Housing are exempt for the income and residency documentation requirements, as outlined in Exhibit A.3 (Client Eligibility Requirements), and instead, must have documentation of homelessness (third party or self-reported). Clients enrolled in other qualifying programs must reside in Austin/Travis County and have an annual household income at or below 200% FPL. If during the course of BHS participation, the client's income increases beyond 200% FPL, the client will be exited by the 90th day after the increase is reported.

Program Services And Delivery

Specific project components include:

1) Case management and supports

Caritas case managers will provide pre- and post-treatment case management, coordinate transportation, employment services, and/or housing stability services

2) Psychiatric Nursing Support and Medication Maintenance

A psychiatric registered nurse will provide the following services to eligible clients:

- Serve as part of the clinical team
- Evaluate psychiatric medication compliance
- Evaluate overall client mental and physical health, i.e. taking vital signs, monitoring for medication side-effects, etc.
- Assess mental health needs
- Assess client's progress in meeting care plan goals
- Communicate regularly with the client's psychiatrist or primary care physician (as appropriate)
- Administer assessments and evaluate assessment results
- Draft case notes for the client file
- Communicate regularly with the client's Caritas case manager

3) Individual Substance Abuse/Mental Health Counseling

Professional mental health counselor(s) and/or professional Licensed Chemical Dependency Counselor(s) will provide mental health counseling, substance abuse counseling, or both to eligible clients. Clients will have hour-long counseling sessions for a period determined by the professional counselor.

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Program Work Statement

Contract Start Date

9/1/2015

Contract End Date

9/30/2018

4) Substance Abuse Treatment

BHS will provide both residential and out-patient substance abuse treatment. BHS will not fund medical treatment, such as detox medications, for clients receiving these services. Substance abuse treatment services include:

- Assessment of substance abuse, mental health, and related problems
- Treatment plan development
- Professional counseling (cognitive-behavioral therapy, motivational interviewing, contingency management, etc.)
- Education regarding addiction and what to expect from treatment/recovery
- Information/referral to assist with post-treatment sobriety

5) Peer Mentoring Program

Caritas will provide access to a Peer Mentor(s) who has experienced success in mental health treatment, recovery, and housing stability. The Peer Mentor(s) would be prepared to share experience/knowledge with others at an earlier stage of mental health treatment or recovery from alcohol and/or drug dependency.

Peer mentoring will provide the following services to BHS clients:

- One-on-one coaching in which a peer mentor encourages, motivates, and supports a peer with mental health/substance abuse issues who is new to housing or at-risk of losing housing stability; Peer mentors may also assist clients with tasks such as setting housing goals and solving problems directly related to housing stability
- Connecting the client with services and resources available in the community
- Helping clients make new friends and begin building alternative social networks; Peer mentors may organize activities that range from opportunities to participate in team sports to family-centered holiday celebrations to payday get-togethers that are alcohol- and drug-free. These activities provide a sense of acceptance and belonging to a group, as well as the opportunity to practice new social skills.

6) Client Transportation

BHS funds may be used to provide bus passes and/or taxi vouchers so that clients can attend psychiatric appointments, counseling appointments, substance abuse treatment, and/or other mental health/substance abuse recovery appointments.

System for Collecting and Reporting Program Data

Caritas uses HMIS/ServicePoint for data collection in its social service programs and ensures that direct client services staff receives adequate training on the use of HMIS for data collection. Caritas' Program Managers use ServicePoint as a tool for staff supervision, for program evaluation purposes, and to provide necessary data to Caritas' Grants Manager for grant reporting purposes. Upon the receipt of a grant or contract, the agency has reports designed in ServicePoint that collect the required data for reporting to different funders. Appropriate program staff is trained on the use of respective reports.

Before client data is entered into HMIS, Caritas case managers secure permission to collect and share their data via a signed HMIS Release of Information. Clients have the ability to opt-out of sharing information via HMIS. If a client opts out, client data is entered into HMIS anonymously. We are able to report on performance measures for anonymous clients. However, we cannot provide Zip Code or demographic information for anonymous clients.

The ServicePoint database will be used to record all client data and service transactions for BHS. At program entry, the case manager will document all appropriate information, including the Self-Sufficiency Outcome Matrix (SSOM) baseline score. Information will also be recorded throughout the program and at program exit.

Performance Evaluation

Performance evaluation:

It is the primary responsibility of Supportive Housing program case managers to ensure that BHS performance targets are attained. Each Supportive Housing case manager has been trained on the requirements and expectations of the BHS program.

Case Managers who have clients enrolled in BHS meet regularly with the professional counselor and/or psychiatric nurse to coordinate care, plan services, and make adjustments to housing stability plans. The professional counselor and/or psychiatric nurse immediately notify case managers if any kind of immediate intervention is needed.

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Program Work Statement

Contract Start Date 9/1/2015 ***Contract End Date*** 9/30/2018

The psychiatric nurse and professional counselor submit invoices at least monthly. The Permanent Supportive Housing Program Manager reconciles these invoices with HMIS service transactions on a monthly basis.

Case Managers meet with Peer Mentors regularly to discuss their interaction with clients. Case Managers use these meetings to provide direction to the Peer Mentors and to get qualitative data regarding client housing stability needs.

The Government Grants Manager and Permanent Supportive Housing Program Manager monitor HMIS data quality, program expenditures, and client performance at least monthly. This information gets reported to the Housing Services Director and Chief Financial Officer monthly. The Board of Directors reviews program and fiscal performance at each of their regular meetings.

Quality Improvement

Quality Improvement:

In the first quarter of each calendar year, Department Directors and Program Managers evaluate each program by reviewing budgets and finance reports as well as HMIS data reports used to assess program efficacy. Reports include client SSOM score changes, entry/exits into each program, increases in client income, and length of stay in programs. Gaps in services are also identified during this process. When the annual agency budget process begins in May of each year, Department Directors and Program Managers address program gaps, shift budget funding to address those gaps, and prepare any needed programmatic or personnel changes to address gaps.

Service Coordination with Other Agencies

Service Cooperation with Other Agencies:

PSH Case Managers work closely with Foundation Communities Case Managers to ensure that all available supports are provided to clients. The PSH Program Manager will ensure the Peer Mentor program component operates to best support clients receiving peer mentoring services.

Service Collaboration with Other Agencies

This is not a formal collaboration.

Community Planning Activities

Caritas staff attends quarterly meetings with community refugee services providers such as Project Access, the Texas Office of Immigration and Refugee Affairs, and the City of Austin Refugee Clinic. The Integrated Services Program Director is a board member of Disability Rights Texas, the designated federal Protection and advocacy agency for people with disabilities in Texas.

Caritas is also significantly involved in the homeless/housing service work groups/committees that relate to the Austin/Travis County Continuum of Care. Caritas is a member of ECHO - a local collaboration of homeless service providers, interested organizations and individuals that provides leadership and engages policymakers/the community in ending homelessness.

Program Budget and Narrative

	<i>1</i>	<i>Period 2</i>	<i>3</i>	<i>Contract Start Contract End</i>	<i>9/1/2015 9/30/2018</i>
<i>Period Start Date</i>	9/1/2015	10/1/2016	10/1/2017		
<i>Period End Date</i>	9/30/2016	9/30/2017	9/30/2018		<i>Total</i>
<i>Salary plus Benefits</i>	\$34,890.00	\$50,749.00	\$50,749.00		\$136,388.00
<i>General Operations Expenses</i>	\$175,822.00	\$171,191.00	\$171,191.00		\$518,204.00
<i>Program Subcontractors</i>	\$0.00	\$0.00	\$0.00		\$0.00
<i>Staff Travel</i>	\$1,000.00	\$1,000.00	\$1,000.00		\$3,000.00
<i>Conferences</i>	\$614.00	\$614.00	\$614.00		\$1,842.00
<i>Operations SubTotal</i>	\$177,436.00	\$172,805.00	\$172,805.00		\$523,046.00
<i>Food and Beverages for Clients</i>	\$0.00	\$0.00	\$0.00		\$0.00
<i>Financial Direct Assistance to Clients</i>	\$15,000.00	\$9,000.00	\$9,000.00		\$33,000.00
<i>Other Assistance Amount</i>	\$0.00	\$0.00	\$0.00		\$0.00
<i>Direct Assistance SubTotal</i>	\$15,000.00	\$9,000.00	\$9,000.00		\$33,000.00
<i>Capital Outlay Amount</i>	\$0.00	\$0.00	\$0.00		\$0.00
<i>Total</i>	\$227,326.00	\$232,554.00	\$232,554.00		\$692,434.00
<i>Total Period Percentage</i>	32.83	33.59	33.59		

Detailed Budget Narrative

<i>Salaries plus Benefits</i>	<i>Includes partial salary, employment taxes and fringe benefits for case managers, Program Manager, Director of Housing Services, Peer Mentor(s), administrative staff and other personnel working on the program</i>
<i>General Op Expenses</i>	<i>Occupancy, utilities, insurance, security, janitorial, pest control, audit, employee parking, maintenance/repairs, telephone/internet, IT hardware and software, HMIS user licenses and reporting tools, viewing and ad hoc licenses, database, supplies, postage, payroll fees, printing, reproduction, staff mileage reimbursement, translation/interpretation, in-county staff training, peer mentoring certification, substance abuse treatment services, professional counseling services, psychiatric nursing services</i>
<i>Program Subcontractors</i>	
<i>Staff Travel</i>	<i>Mileage reimbursement, per diem, airfare, car rental, and bus for staff to attend professional development conferences out of Austin/Travis County that are related to the program</i>
<i>Conferences</i>	<i>Registration fees for conferences or training out of Austin/Travis County</i>
<i>Food and Beverage</i>	
<i>Financial Assistance</i>	<i>Bus passes, taxi vouchers for clients to attend mental/behavioral health related appointments, medication copays for treating mental/behavioral health conditions</i>
<i>Other Assistance</i>	
<i>Capital Outlay</i>	

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BUSINESS ASSOCIATE AGREEMENT PROVISIONS

This Business Associate Agreement (the "Agreement"), is made by and between the Grantee (Business Associate) and the City (Covered Entity) (collectively the "Parties") to comply with privacy standards adopted by the U.S. Department of Health and Human Services as they may be amended from time to time, 45 C.F.R. parts 160 and 164 ("the Privacy Rule") and security standards adopted by the U.S. Department of Health and Human Services as they may be amended from time to time, 45 C.F.R. parts 160, 162 and 164, subpart C ("the Security Rule"), and the Health Information Technology for Economic and Clinical Health (HITECH) Act, Title XIII of Division A and Title IV of Division B of the American Recovery and Reinvestment Act of 2009 and regulations promulgated there under and any applicable state confidentiality laws.

RECITALS

WHEREAS, Business Associate provides services outlined in Exhibit A.1 to or on behalf of Covered Entity;

WHEREAS, in connection with these services, Covered Entity discloses to Business Associate certain protected health information that is subject to protection under the HIPAA Rules; and

WHEREAS, the HIPAA Rules require that Covered Entity receive adequate assurances that Business Associate will comply with certain obligations with respect to the PHI received, maintained, or transmitted in the course of providing services to or on behalf of Covered Entity.

NOW THEREFORE, in consideration of the mutual promises and covenants herein, and for other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the Parties agree as follows:

- A. Definitions. Terms used herein, but not otherwise defined, shall have meaning ascribed by the Privacy Rule and the Security Rule.
1. Breach. "Breach" shall have the same meaning as the term "breach" in 45 C.F.R. §164.502.
 2. Business Associate. "Business Associate" shall have the same meaning as the term "business associate" in 45 C.F.R. §160.103 and in reference to the party to this agreement, shall mean Grantee.
 3. Covered Entity. "Covered Entity" shall have the same meaning as the term "covered entity" in 45 C.F.R. §160.103 and in reference to the party to this agreement shall mean The City of Austin.
 4. Designated Record Set. "Designated Record Set" shall mean a group of records maintained by or for a Covered Entity that is: (i) the medical records and billing records about Individuals maintained by or for a covered health care provider; (ii) the enrollment, payment, claims adjudication, and case or medical management record systems maintained by or for a health plan; or (iii) used, in whole or in part, by or for the covered entity to make decisions about Individuals. For purposes of

this definition, the term "record" means any item, collection, or grouping of information that includes protected health information and is maintained, collected, used, or disseminated by or for a covered entity.

5. HIPAA Rules. The Privacy Rule and the Security Rule and amendments codified and promulgated by the HITECH Act are referred to collectively herein as "HIPAA Rules."
 6. Individual. "Individual" shall mean the person who is the subject of the protected health information.
 7. Incident. "Incident" means a potential or attempted unauthorized access, use, disclosure, modification, loss or destruction of PHI, which has the potential for jeopardizing the confidentiality, integrity or availability of the PHI.
 8. Protected Health Information ("PHI"). "Protected Health Information" or PHI shall have the same meaning as the term "protected health information" in 45 C.F.R. §160.103, limited to the information created, received, maintained or transmitted by Business Associate from or on behalf of covered entity pursuant to this Agreement.
 9. Required by Law. "Required by Law" shall mean a mandate contained in law that compels a use or disclosure of PHI.
 10. Secretary. "Secretary" shall mean the Secretary of the Department of Health and Human Services or his or her Designee.
 11. Sensitive Personal Information. "Sensitive Personal Information" shall mean an individual's first name or first initial and last name in combination with any one or more of the following items, if the name and the items are not encrypted: a) social security number; driver's license number or government-issued identification number; or account number or credit or debit card number in combination with any required security code, access code, or password that would permit access to an individual's financial account; or b) information that identifies an individual and relates to: the physical or mental health or condition of the individual; the provision of health care to the individual; or payment for the provision of health care to the individual.
 12. Subcontractor. "subcontractor" shall have the same meaning as the term "subcontractor" in 45 C.F.R. §160.103.
 13. Unsecured PHI. "Unsecured PHI" shall mean PHI that is not rendered unusable, unreadable, or indecipherable to unauthorized individuals through the use of a technology or methodology specified by the Secretary in the guidance issued under section 13402(h)(2) of Public Law 111-5.
- B. Purposes for which PHI May Be Disclosed to Business Associate. In connection with the services provided by Business Associate to or on behalf of Covered Entity described in this

Agreement, Covered Entity may disclose PHI to Business Associate for the purposes of providing a social service.

C. Obligations of Covered Entity. If deemed applicable by Covered Entity, Covered Entity shall:

1. provide Business Associate a copy of its Notice of Privacy Practices ("Notice") produced by Covered Entity in accordance with 45 C.F.R. 164.520 as well as any changes to such Notice;
2. provide Business Associate with any changes in, or revocation of, authorizations by Individuals relating to the use and/or disclosure of PHI, if such changes affect Business Associate's permitted or required uses and/or disclosures;
3. notify Business Associate of any restriction to the use and/or disclosure of PHI to which Covered Entity has agreed in accordance with 45 C.F.R. 164.522, to the extent that such restriction may affect Business Associate's use or disclosure of PHI;
4. not request Business Associate to use or disclose PHI in any manner that would not be permissible under the Privacy Rule if done by the Covered entity;
5. notify Business Associate of any amendment to PHI to which Covered Entity has agreed that affects a Designated Record Set maintained by Business Associate;
6. if Business Associate maintains a Designated Record Set, provide Business Associate with a copy of its policies and procedures related to an Individual's right to: access PHI; request an amendment to PHI; request confidential communications of PHI; or request an accounting of disclosures of PHI; and,
7. direct, review and control notification made by the Business Associate of individuals of breach of their Unsecured PHI in accordance with the requirements set forth in 45 C.F.R. § 164.404.

D. Obligations of Business Associate. Business Associate agrees to comply with applicable federal and state confidentiality and security laws, specifically the provisions of the HIPAA Rules applicable to business associates, including:

1. Use and Disclosure of PHI. Except as otherwise permitted by this Agreement or applicable law, Business Associate shall not use or disclose PHI except as necessary to provide Services described above to or on behalf of Covered Entity, and shall not use or disclose PHI that would violate the HIPAA Rules if used or disclosed by Covered Entity. Also, knowing that there are certain restrictions on disclosure of PHI. Provided, however, Business Associate may use and disclose PHI as necessary for the proper management and administration of Business Associate, or to carry out its legal responsibilities. Business Associate shall in such cases:

- (a) provide information and training to members of its workforce using or disclosing PHI regarding the confidentiality requirements of the HIPAA Rules and this Agreement;
 - (b) obtain reasonable assurances from the person or entity to whom the PHI is disclosed that: (a) the PHI will be held confidential and further used and disclosed only as Required by Law or for the purpose for which it was disclosed to the person or entity; and (b) the person or entity will notify Business Associate of any instances of which it is aware in which confidentiality of the PHI has been breached; and
 - (c) agree to notify the designated Privacy Officer of Covered Entity of any instances of which it is aware in which the PHI is used or disclosed for a purpose that is not otherwise provided for in this Agreement or for a purpose not expressly permitted by the HIPAA Rules.
- 2. Data Aggregation. In the event that Business Associate works for more than one Covered Entity, Business Associate is permitted to use and disclose PHI for data aggregation purposes, however, only in order to analyze data for permitted health care operations, and only to the extent that such use is permitted under the HIPAA Rules.
- 3. De-identified Information. Business Associate may use and disclose de-identified health information if written approval from the Covered Entity is obtained, and the PHI is de-identified in compliance with the HIPAA Rules. Moreover, Business Associate shall review and comply with the requirements defined under Section E. of this Agreement.
- 4. Safeguards.
 - (a) Business Associate shall maintain appropriate safeguards to ensure that PHI is not used or disclosed other than as provided by this Agreement or as Required by Law. Business Associate shall implement administrative, physical and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of any paper or electronic PHI it creates, receives, maintains, or transmits on behalf of Covered Entity.
 - (b) Business Associate shall assure that all PHI be secured when accessed by Business Associate's employees, agents or subcontractor. Any access to PHI by Business Associate's employees, agents or subcontractors shall be limited to legitimate business needs while working with PHI. Any personnel changes by Business Associate, eliminating the legitimate business needs for employees, agents or contractors access to PHI – either by revision of duties or termination – shall be immediately reported to Covered Entity. Such reporting shall be made no later than the third business day after the personnel change becomes effective.

5. Minimum Necessary. Business Associate shall ensure that all uses and disclosures of PHI are subject to the principle of "minimum necessary use and disclosure," i.e., that only PHI that is the minimum necessary to accomplish the intended purpose of the use, disclosure, or request is used or disclosed; and, the use of limited data sets when possible.
6. Disclosure to Agents and Subcontractors. If Business Associate discloses PHI received from Covered Entity, or created or received by Business Associate on behalf of Covered Entity, to agents, including a subcontractor, Business Associate shall require the agent or subcontractor to agree to the same restrictions and conditions as apply to Business Associate under this Agreement. Business Associate shall ensure that any agent, including a subcontractor, agrees to implement reasonable and appropriate safeguards to protect the confidentiality, integrity, and availability of the paper or electronic PHI that it creates, receives, maintains, or transmits on behalf of the Covered Entity. Business Associate shall be liable to Covered Entity for any acts, failures or omissions of the agent or subcontractor in providing the services as if they were Business Associate's own acts, failures or omissions, to the extent permitted by law. Business Associate further expressly warrants that its agents or subcontractors will be specifically advised of, and will comply in all respects with, the terms of this Agreement.
7. Individual Rights Regarding Designated Record Sets. If Business Associate maintains a Designated Record Set on behalf of Covered Entity Business Associate agrees as follows:
 - (a) Individual Right to Copy or Inspection. Business Associate agrees that if it maintains a Designated Record Set for Covered Entity that is not maintained by Covered Entity, it will permit an Individual to inspect or copy PHI about the Individual in that set as directed by Covered Entity to meet the requirements of 45 C.F.R. § 164.524. If the PHI is in electronic format, the Individual shall have a right to obtain a copy of such information in electronic format and, if the Individual chooses, to direct that an electronic copy be transmitted directly to an entity or person designated by the individual in accordance with HITECH section 13405 (c). Under the Privacy Rule, Covered Entity is required to take action on such requests as soon as possible, but not later than 30 days following receipt of the request. Business Associate agrees to make reasonable efforts to assist Covered Entity in meeting this deadline. The information shall be provided in the form or format requested if it is readily producible in such form or format; or in summary, if the Individual has agreed in advance to accept the information in summary form. A reasonable, cost-based fee for copying health information may be charged. If Covered Entity maintains the requested records, Covered Entity, rather than Business Associate shall permit access according to its policies and procedures implementing the Privacy Rule.

- (b) Individual Right to Amendment. Business Associate agrees, if it maintains PHI in a Designated Record Set, to make amendments to PHI at the request and direction of Covered Entity pursuant to 45 C.F.R. §164.526. If Business Associate maintains a record in a Designated Record Set that is not also maintained by Covered Entity, Business Associate agrees that it will accommodate an Individual's request to amend PHI only in conjunction with a determination by Covered Entity that the amendment is appropriate according to 45 C.F.R. §164.526.
 - (c) Accounting of Disclosures. Business Associate agrees to maintain documentation of the information required to provide an accounting of disclosures of PHI, whether PHI is paper or electronic format, in accordance with 45 C.F.R. §164.528 and HITECH Sub Title D Title VI Section 13405 (c), and to make this information available to Covered Entity upon Covered Entity's request, in order to allow Covered Entity to respond to an Individual's request for accounting of disclosures. Under the Privacy Rule, Covered Entity is required to take action on such requests as soon as possible but not later than 60 days following receipt of the request. Business Associate agrees to use its best efforts to assist Covered Entity in meeting this deadline but not later than 45 days following receipt of the request. Such accounting must be provided without cost to the individual or Covered Entity if it is the first accounting requested by an individual within any 12 month period; however, a reasonable, cost-based fee may be charged for subsequent accountings if Business Associate informs the individual in advance of the fee and is afforded an opportunity to withdraw or modify the request. Such accounting is limited to disclosures that were made in the six (6) years prior to the request (not including disclosures prior to the compliance date of the Privacy Rule) and shall be provided for as long as Business Associate maintains the PHI.
8. Internal Practices, Policies and Procedures. Except as otherwise specified herein, Business Associate shall make available its internal practices, books, records, policies and procedures relating to the use and disclosure of PHI, received from or on behalf of Covered Entity to the Secretary or his or her agents for the purpose of determining Covered Entity's compliance with the HIPAA Rules, or any other health oversight agency, or to Covered Entity. Records requested that are not protected by an applicable legal privilege will be made available in the time and manner specified by Covered Entity or the Secretary.
9. Notice of Privacy Practices. Business Associate shall abide by the limitations of Covered Entity's Notice of which it has knowledge. Any use or disclosure permitted by this Agreement may be amended by changes to Covered Entity's Notice; provided, however, that the amended Notice shall not affect permitted uses and disclosures on which Business Associate relied prior to receiving notice of such amended Notice.

10. Withdrawal of Authorization. If the use or disclosure of PHI in this Agreement is based upon an Individual's specific authorization for the use or disclosure of his or her PHI, and the Individual revokes such authorization, the effective date of such authorization has expired, or such authorization is found to be defective in any manner that renders it invalid, Business Associate shall, if it has notice of such revocation, expiration, or invalidity, cease the use and disclosure of the Individual's PHI except to the extent it has relied on such use or disclosure, or if an exception under the Privacy Rule expressly applies.
11. Knowledge of HIPAA Rules. Business Associate agrees to review and understand the HIPAA Rules as it applies to Business Associate, and to comply with the applicable requirements of the HIPAA Rule, as well as any applicable amendments.
12. Information Incident Notification for PHI. Business Associate will report any successful Incident of which it becomes aware and at the request of the Covered Entity, will identify: the date of the Incident, scope of Incident, Business Associate's response to the Incident, and the identification of the party responsible for causing the Incident.
13. Information Breach Notification for PHI. Business Associate expressly recognizes that Covered Entity has certain reporting and disclosure obligations to the Secretary and the Individual in case of a security breach of unsecured PHI. Where Business Associate accesses, maintains, retains, modifies, records, stores, destroys, or otherwise holds, uses or discloses unsecured paper or electronic PHI, Business Associate immediately following the "discovery" (within the meaning of 45 C.F.R. §164.410(a)) of a breach of such information, shall notify Covered Entity of such breach. Initial notification of the breach does not need to be in compliance with 45 C.F.R. §164.404(c); however, Business Associate must provide Covered Entity with all information necessary for Covered Entity to comply with 45 C.F.R. §164.404(c) without reasonable delay, and in no case later than three days following the discovery of the breach. Business Associate shall be liable for the costs associated with such breach if caused by the Business Associate's negligent or willful acts or omissions, or the negligent or willful acts or omissions of Business Associate's agents, officers, employees or subcontractors.
14. Breach Notification to Individuals. Business Associate's duty to notify Covered Entity of any breach does not permit Business Associate to notify those individuals whose PHI has been breached by Business Associate without the express written permission of Covered Entity to do so. Any and all notification to those individuals whose PHI has been breached shall be made by the Business Associate under the direction, review and control of Covered Entity. The Business Associate will notify the Covered Entity via telephone with follow-up in writing to include; name of individuals whose PHI was breached, information breached, date of breach, form of breach, etc. The cost of the notification will be paid by the Business Associate.
15. Information Breach Notification for Other Sensitive Personal Information. In addition to the reporting under Section D.12, Business Associate shall notify

Covered Entity of any breach of computerized Sensitive Personal Information (as determined pursuant to Title 11, subtitle B, chapter 521, Subchapter A, Section 521.053, Texas Business & Commerce Code) to assure Covered Entity's compliance with the notification requirements of Title 11, Subtitle B, Chapter 521, Subchapter A, Section 521.053, Texas Business & Commerce Code. Accordingly, Business Associate shall be liable for all costs associated with any breach caused by Business Associate's negligent or willful acts or omissions, or those negligent or willful acts or omissions of Business Associate's agents, officers, employees or subcontractors.

E. Permitted Uses and Disclosures by Business Associates. Except as otherwise limited in this Agreement, Business Associate may use or disclose Protected Health Information to perform functions, activities, or services for, or on behalf of, Covered Entity as specified in this Business Associates Agreement or in a Master Services Agreement, provided that such use or disclosure would not violate the HIPAA Rules if done by Covered Entity or the minimum necessary policies and procedures of the Covered Entity. Also, Business Associate may use PHI to report violations of law to appropriate Federal and State authorities, consistent with the HIPAA Rules.

1. Use. Business Associate will not, and will ensure that its directors, officers, employees, contractors and other agents do not, use PHI other than as permitted or required by Business Associate to perform the Services or as required by law, but in no event in any manner that would constitute a violation of the Privacy Standards or Security standards if used by Covered Entity.
2. Disclosure. Business Associate will not, and will ensure that its directors, officers, employees, contractors, and other agents do not, disclose PHI other than as permitted pursuant to this arrangement or as required by law, but in no event disclose PHI in any manner that would constitute a violation of the Privacy Standards or Security Standards if disclosed by Covered Entity.
3. Business Associate acknowledges and agrees that Covered Entity owns all right, title, and interest in and to all PHI, and that such right, title, and interest will be vested in Covered Entity. Neither Business Associate nor any of its employees, agents, consultants or assigns will have any rights in any of the PHI, except as expressly set forth above. Business Associate represents, warrants, and covenants that it will not compile and/or distribute analyses to third parties using any PHI without Covered Entity's express written consent.

F. Application of Security and Privacy Provisions to Business Associate.

1. Security Measures. Sections 164.308, 164.310, 164.312 and 164.316 of Title 45 of the Code of Federal Regulations dealing with the administrative, physical and technical safeguards as well as policies, procedures and documentation requirements that apply to Covered Entity shall in the same manner apply to Business Associate. Any additional security requirements contained in Sub Title D of Title IV of the HITECH Act that apply to Covered Entity shall also apply to Business Associate. Pursuant to

the foregoing requirements in this section, the Business Associate will implement administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the paper or electronic PHI that it creates, has access to, or transmits. Business Associate will also ensure that any agent, including a subcontractor, to whom it provides such information, agrees to implement reasonable and appropriate safeguards to protect such information. Business Associate will ensure that PHI contained in portable devices or removable media is encrypted.

2. Annual Guidance. For the first year beginning after the date of the enactment of the HITECH Act and annually thereafter, the Secretary shall annually issue guidance on the most effective and appropriate technical safeguards for use in carrying out the sections referred to in subsection (a) and the security standards in subpart C of part 164 of title 45, Code of Federal Regulations. Business Associate shall, at their own cost and effort, monitor the issuance of such guidance and comply accordingly.
3. Privacy Provisions. The enhanced HIPAA privacy requirements including but not necessarily limited to accounting for certain PHI disclosures for treatment, restrictions on the sale of PHI, restrictions on marketing and fundraising communications, payment and health care operations contained Subtitle D of the HITECH Act that apply to the Covered entity shall equally apply to the Business Associate.
4. Application of Civil and Criminal Penalties. If Business Associate violates any security or privacy provision specified in subparagraphs (1) and (2) above, sections 1176 and 1177 of the Social Security Act (42 U.S.C. 1320d-5, 1320d-6) shall apply to Business Associate with respect to such violation in the same manner that such sections apply to Covered Entity if it violates such provisions.

G. Term and Termination.

1. Term. This Agreement shall be effective as of the Effective Date and shall be terminated when all PHI provided to Business Associate by Covered Entity, or created or received by Business Associate on behalf of Covered Entity, is destroyed or returned to Covered Entity.
2. Termination for Cause. Upon Covered entity's knowledge of a material breach by Business Associate, Covered Entity shall either:
 - a. Provide an opportunity for Business Associate to cure the breach within 30 days of written notice of such breach or end the violation and terminate this Agreement, whether it is in the form of a stand alone agreement or an addendum to a Master Services Agreement, if Business Associate does not cure the breach or end the violation within the time specified by Covered Entity; or
 - b. Immediately terminate this Agreement whether it is in the form of a stand alone agreement or an addendum to a Master Services Agreement if

Business associate has breached a material term of this Agreement and cure is not possible.

3. Effect of Termination. Upon termination of this Agreement for any reason, Business Associate agrees to return or destroy all PHI received from Covered Entity, or created or received by Business Associate on behalf of Covered Entity, maintained by Business Associate in any form. If Business Associate determines that the return or destruction of PHI is not feasible, Business Associate shall inform Covered Entity in writing of the reason thereof, and shall agree to extend the protections of this Agreement to such PHI and limit further uses and disclosures of the PHI to those purposes that make the return or destruction of the PHI not feasible for so long as Business Associate retains the PHI.

H. Miscellaneous.

1. Indemnification. To the extent permitted by law, Business Associate agrees to indemnify and hold harmless Covered Entity from and against all claims, demands, liabilities, judgments or causes of action of any nature for any relief, elements of recovery or damages recognized by law (including, without limitation, attorney's fees, defense costs, and equitable relief), for any damage or loss incurred by Covered Entity arising out of, resulting from, or attributable to any acts or omissions or other conduct of Business Associate or its agents in connection with the performance of Business Associate's or its agents' duties under this Agreement. This indemnity shall apply even if Covered Entity is alleged to be solely or jointly negligent or otherwise solely or jointly at fault; provided, however, that a trier of fact finds Covered Entity not to be solely or jointly negligent or otherwise solely or jointly at fault. This indemnity shall not be construed to limit Covered Entity's rights, if any, to common law indemnity.

Covered Entity shall have the option, at its sole discretion, to employ attorneys selected by it to defend any such action, the costs and expenses of which shall be the responsibility of Business Associate. Covered Entity shall provide Business Associate with timely notice of the existence of such proceedings and such information, documents and other cooperation as reasonably necessary to assist Business Associate in establishing a defense to such action.

These indemnities shall survive termination of this Agreement, and Covered Entity reserves the right, at its option and expense, to participate in the defense of any suit or proceeding through counsel of its own choosing.

2. Mitigation. If Business Associate violates this Agreement or either of the HIPAA Rules, Business Associate agrees to mitigate any damage caused by such breach.
3. Rights of Proprietary Information. Covered Entity retains any and all rights to the proprietary information, confidential information, and PHI it releases to Business Associate.
4. Survival. The respective rights and obligations of Business Associate under Section E.3 of this Agreement shall survive the termination of this Agreement.

5. Notices. Any notices pertaining to this Agreement shall be given in writing and shall be deemed duly given when personally delivered to a Party or a Party's authorized representative as listed in Section 8.7 of the agreement between the City and Grantee or sent by means of a reputable overnight carrier, or sent by means of certified mail, return receipt requested, postage prepaid. A notice sent by certified mail shall be deemed given on the date of receipt or refusal of receipt.
6. Amendments. This Agreement may not be changed or modified in any manner except by an instrument in writing signed by a duly authorized officer of each of the Parties hereto. The Parties, however, agree to amend this Agreement from time to time as necessary, in order to allow Covered Entity to comply with the requirements of the HIPAA Rules.
7. Choice of Law. This Agreement and the rights and the obligations of the Parties hereunder shall be governed by and construed under the laws of the State of Texas without regard to applicable conflict of laws principles.
8. Assignment of Rights and Delegation of Duties. This Agreement is binding upon and inures to the benefit of the Parties hereto and their respective successors and permitted assigns. However, neither Party may assign any of its rights or delegate any of its obligations under this Agreement without the prior written consent of the other Party, which consent shall not be unreasonably withheld or delayed. Notwithstanding any provisions to the contrary, however, Covered Entity retains the right to assign or delegate any of its rights or obligations hereunder to any of its wholly owned subsidiaries, affiliates or successor companies. Assignments made in violation of this provision are null and void.
9. Nature of Agreement. Nothing in this Agreement shall be construed to create (i) a partnership, joint venture or other joint business relationship between the Parties or any of their affiliates, (ii) any fiduciary duty owed by one Party to another Party or any of its affiliates, or (iii) a relationship of employer and employee between the Parties.
10. No Waiver. Failure or delay on the part of either Party to exercise any right, power, privilege or remedy hereunder shall not constitute a waiver thereof. No provision of this Agreement may be waived by either Party except by a writing signed by an authorized representative of the Party making the waiver.
11. Equitable Relief. Any disclosure of misappropriation of PHI by Business Associate in violation of this Agreement will cause Covered Entity irreparable harm, the amount of which may be difficult to ascertain. Business Associate therefore agrees that Covered Entity shall have the right to apply to a court of competent jurisdiction for specific performance and/or an order restraining and enjoining Business Associate from any such further disclosure or breach, and for such other relief as Covered Entity shall deem appropriate. Such rights are in addition to any other remedies available to Covered Entity at law or in equity. Business Associate expressly waives the defense that a remedy in damages will be adequate, and further waives any requirement in an action for specific performance or injunction for the posting of a bond by Covered Entity.

12. Severability. The provisions of this Agreement shall be severable, and if any provision of this Agreement shall be held or declared to be illegal, invalid or unenforceable, the remainder of this Agreement shall continue in full force and effect as though such illegal, invalid or unenforceable provision had not been contained herein.
13. No Third Party Beneficiaries. Nothing in this Agreement shall be considered or construed as conferring any right or benefit on a person not a party to this Agreement nor imposing any obligations on either Party hereto to persons not a party to this Agreement.
14. Headings. The descriptive headings of the articles, sections, subsections, exhibits and schedules of this Agreement are inserted for convenience only, do not constitute a part of this Agreement and shall not affect in any way the meaning or interpretation of this Agreement.
15. Entire Agreement. This Agreement, together with all Exhibits, Riders and amendments, if applicable, which are fully completed and signed by authorized persons on behalf of both Parties from time to time while this Agreement is in effect, constitutes the entire Agreement between the Parties hereto with respect to the subject matter hereof and supersedes all previous written or oral understandings, agreements, negotiations, commitments, and any other writing and communication by or between the Parties with respect to the subject matter hereof. In the event of any inconsistencies between any provisions of this Agreement in any provisions of the Exhibits, Riders, or amendments, the provisions of this Agreement shall control.
16. Interpretation. Any ambiguity in this Agreement shall be resolved in favor of a meaning that permits Covered Entity to comply with the HIPAA Rules and any applicable state confidentiality laws. The provisions of this Agreement shall prevail over the provisions of any other agreement that exists between the Parties that may conflict with, or appear inconsistent with, any provision of this Agreement or the HIPAA Rules.
17. Regulatory References. A citation in this Agreement to the Code of Federal Regulations shall mean the cited section as that section may be amended from time to time.

Applications Funded in Response to RFP EAD0116
Self Sufficiency Social Services

Evaluation Score	Agency Name	Program Name	37-Month Funding	3, 12-Month Extension Options	Total Contract Amount
118	Youth & Family Alliance (Lifeworks)	Collective Impact Continuum	\$2,428,800	\$809,600	\$4,857,600
115	Meals on Wheels and More	Meals on Wheels	\$1,302,849	\$434,283	\$2,605,698
115	Any Baby Can	Ready Families Collaborative (C-11)	\$4,459,737	\$1,486,579	\$8,919,474
115	Austin Child Guidance Center	Underserved Families Mental Health Program	\$536,376	\$178,792	\$1,072,752
114	Casa Marianella	Emergency Shelter	\$544,320	\$181,440	\$1,088,640
113	Communities in Schools	Case Management & Pebble Project	\$1,427,469	\$475,823	\$2,854,938
113	Travis County Domestic ... (SafePlace)	Expect Respect	\$494,760	\$164,920	\$989,520
113	Theatre Action Project (Creative Action)	Del Valle Collaborative Afterschool Program (C-3)	\$845,934	\$281,978	\$1,691,868
113	Family Eldercare	Living Well Collaborative (C-6)	\$514,764	\$171,588	\$1,029,528
111	Travis County Domestic ... (SafePlace)	Victim Services	\$2,166,000	\$722,000	\$4,332,000
111	Family Eldercare	Counseling Services	\$164,955	\$54,985	\$329,910
111	Caritas of Austin	BSS+ (C-12)	\$9,992,721	\$3,330,907	\$19,985,442
110	Austin Recovery	Self Sufficiency Continuum Services	\$1,371,249	\$457,083	\$2,742,498
110	Caritas of Austin	Mental and Behavioral Health Services	\$643,377	\$214,459	\$1,286,754
110	The ARC of the Capital Area	Family & Juvenile Transition Services	\$183,726	\$61,242	\$367,452
109	Family Eldercare	Money Management	\$210,000	\$70,000	\$420,000
109	Foundation Communities	Afterschool Summer Youth Program	\$420,000	\$140,000	\$840,000
109	Capital Area Food Bank	Food Bank Services	\$681,141	\$227,047	\$1,362,282
109	Foundation Communities	Tax Prep & Financial Programs	\$371,250	\$123,750	\$742,500
108	VinCare Services of Austin	Saint Louise House	\$273,000	\$91,000	\$546,000
107	Helping the Aging, Needy and Disabled (HAND)	Charitable Care/Sliding Scale	\$120,933	\$40,311	\$241,866
106	Samaritan Center	Whole Body Mental Health Services	\$285,390	\$95,130	\$570,780
106	Foundation for the Homeless	Family Rehousing Initiative	\$713,958	\$237,986	\$1,427,916
106	Austin Children's Shelter	Wrap Around Residential Program	\$264,600	\$88,200	\$529,200
105	Planned Parenthood	Sisters Saving Sisters Program	\$144,612	\$48,204	\$289,224
105	Family Eldercare	Medication Management	\$163,800	\$54,600	\$327,600

Evaluation Score	Agency Name	Program Name	37-Month Funding	3, 12-Month Extension Options	Total Contract Amount
105	Workforce Solutions	Workforce and Education Readiness Continuum (C-13)	\$7,520,967	\$2,506,989	\$15,041,934
104	Salvation Army	Pathways & Partnerships	\$681,864	\$227,288	\$1,363,728
103	Court Appointed Special Advocates (CASA)	Transitioning Youth Program	\$120,000	\$40,000	\$240,000
102	Goodwill Industries Central Texas	Ready to Work	\$2,095,977	\$698,659	\$4,191,954
99	Easter Seals	Housing Services, Early Childhood, Comprehensive Outpatient Rehab, Youth Leaving Services, Adult Services	\$1,002,735	\$334,245	\$2,005,470
97	African American Youth Harvest Foundation	Enrichment of Low Income Youth	\$489,774	\$163,258	\$979,548
97	Texas Riogrande Legal Aid	Legal Services	\$548,346	\$182,782	\$1,096,692
92	YWCA	YW Counseling & Referral Ctr (YWERC)	\$348,714	\$116,238	\$697,428
90	Austin ISD	Victory	\$615,600	\$205,200	\$1,231,200
82	Austin ISD	Primetime	\$1,921,833	\$640,611	\$3,843,666
82	Child Inc.	Early Steps to School Readiness Summer and After School Program	\$1,293,750	\$431,250	\$2,587,500
*	Council on At-Risk Youth (CARY)	Ounce of Prevention	\$480,000	\$160,000	\$960,000
*	River City Youth Foundation	Dove Springs	\$350,400	\$116,800	\$700,800
Total					\$96,391,362
* Council on At-Risk Youth (CARY) and River City Youth Foundation were disqualified from the RFA process by the Purchasing Office due to non-compliance with the solicitation requirements.					



Amendment No. 1
to
Contract No. NG150000019
for
Social Services
between
CARITAS OF AUSTIN
and the
CITY OF AUSTIN
(Behavioral Health Services- BHS)

- 1.0 The City of Austin and the Contractor hereby agree to the contract revisions listed below.
- 2.0 The total amount for this Amendment to the Contract is **Thirty Eight Thousand Six Hundred and One dollars (\$38,601)**. The total Contract amount is recapped below:

Term	Contract Change Amount	Total Contract Amount
Basic Term: (Sept. 1, 2015 – Sept. 30, 2018)	n/a	\$ 643,377
Amendment No. 1: Add funds to Contract and modify Exhibits	\$ 38,601	\$ 681,978

- 3.0 The following changes have been made to the original contract EXHIBITS:

Exhibit A.1 -- Program Work Statement is deleted in its entirety and replaced with a new **Exhibit A.1 -- Program Work Statement**. [Revised 4/29/2016]

Exhibit B.1 -- Program Budget and Narrative is deleted in its entirety and replaced with a new **Exhibit B.1 -- Program Budget and Narrative**. [Revised 4/29/2016]

Exhibit B.2 -- Program Subcontractors is deleted in its entirety.

- 4.0 The following contract TERMS and CONDITIONS have been revised:

Section 4.1 [Contract Amount]. The Grantee acknowledges and agrees that, notwithstanding any other provision of this Contract, the maximum amount payable by the City under this Contract for the initial thirty-seven (37) month term shall not exceed the amount approved by City Council, which is **\$681,978 (Six Hundred Eighty One Thousand Nine Hundred Seventy Eight dollars)**, and \$227,326 (Two Hundred Twenty Seven Thousand Three Hundred Twenty Six dollars) per twelve (12) month extension option, for a total Contract amount of \$1,363,956. Continuation of the Contract beyond the initial thirty-seven (37) months is specifically contingent upon the availability and allocation of funding by City Council.

Section 4.1.2 Payment to the Grantee shall be made in the following increments:

4.1.2.1 For the Program Period of September 1, 2015 through September 30, 2016, the payment from the City to the Grantee shall not exceed \$227,326 (*Two Hundred Twenty Seven Thousand Three Hundred Twenty Six dollars*);

4.1.2.2 For the Program Period of October 1, 2016 through September 30, 2017, the payment from the City to the Grantee shall not exceed \$227,326 (*Two Hundred Twenty Seven Thousand Three Hundred Twenty Six dollars*);

4.1.2.3 For the Program Period of October 1, 2017 through September 30, 2018, the payment from the City to the Grantee shall not exceed \$227,326 (*Two Hundred Twenty Seven Thousand Three Hundred Twenty Six dollars*).

5.0 MBE/WBE goals were not established for this Contract.

6.0 Based on the criteria in the City of Austin Living Wage Resolution #020509-91, the Living Wage requirement does not apply to this Contract.

7.0 By signing this Amendment, the Contractor certifies that the Contractor and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusion records found at SAM.gov, the State of Texas, or the City of Austin.

8.0 All other Contract terms and conditions remain the same.

BY THE SIGNATURES affixed below, this Amendment is hereby incorporated into and made a part of the above-referenced Contract.

CONTRACTOR

Signature: _____

CARITAS OF AUSTIN
Jo Kathryn Quinn, Executive Director
611 Neches
Austin, TX 78701

Date: _____

3.23.16

CITY OF AUSTIN

Signature: _____

City of Austin
Purchasing Office
PO Box 1088
Austin, TX 78767

Date: _____

7/7/16

Program Work Statement

Contract Start Date

9/1/2015

Contract End Date

9/30/2018

Program Goals And Objectives

BHS will provide professional mental/behavioral health counseling, substance abuse counseling, psychiatric nursing services, and peer mentoring to Caritas of Austin clients. BHS will supplement intensive case management services provided by other programs. It will help clients achieve program goals and housing stability by providing specialized support for relapse prevention, and complex behavioral health needs.

Program Clients Served

The BHS target population includes individuals who are experiencing one or more of the following:

- A mental health and/or behavioral health diagnosis and do not have immediate access to public mental/behavioral health services
- Prior involvement in the criminal justice system
- Difficulty maintaining or obtaining housing and lack of access to mental/behavioral health services is a contributing factor.

Individuals must be enrolled in one of the following Caritas programs in order to be eligible for services:

- oPermanent Supportive Housing
- oHousing Stability
- oSupportive Services for Veteran Families
- oRefugee Resettlement
- oEmployment

Program Services And Delivery

Specific project components include:

1) Case management and supports

Caritas case managers will provide pre- and post-treatment case management, coordinate transportation, employment services, and/or housing stability services

2) Psychiatric Nursing Support and Medication Maintenance

A psychiatric registered nurse will provide the following services to eligible clients:

- Serve as part of the clinical team
- Evaluate psychiatric medication compliance
- Evaluate overall client mental and physical health, i.e. taking vital signs, monitoring for medication side-effects, etc.
- Assess mental health needs
- Assess client's progress in meeting care plan goals
- Communicate regularly with the client's psychiatrist or primary care physician (as appropriate)
- Administer assessments and evaluate assessment results
- Draft case notes for the client file
- Communicate regularly with the client's Caritas case manager

3) Individual Substance Abuse/Mental Health Counseling

Professional mental health counselor(s) and/or professional Licensed Chemical Dependency Counselor(s) will provide mental health counseling, substance abuse counseling, or both to eligible clients. Clients will have hour-long counseling sessions for a period determined by the professional counselor.

4) Substance Abuse Treatment

BHS will provide both residential and out-patient substance abuse treatment. BHS will not fund medical treatment, such as detox medications, for clients receiving these services. Substance abuse treatment services include:

- Assessment of substance abuse, mental health, and related problems
- Treatment plan development
- Professional counseling (cognitive-behavioral therapy, motivational interviewing, contingency management, etc.)
- Education regarding addiction and what to expect from treatment/recovery
- Information/referral to assist with post-treatment sobriety

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Program Work Statement

Contract Start Date

9/1/2015

Contract End Date

9/30/2018

5) Peer Mentoring Program

Caritas will provide access to a Peer Mentor(s) who has experienced success in mental health treatment, recovery, and housing stability. The Peer Mentor(s) would be prepared to share experience/knowledge with others at an earlier stage of mental health treatment or recovery from alcohol and/or drug dependency.

Peer mentoring will provide the following services to BHS clients:

- One-on-one coaching in which a peer mentor encourages, motivates, and supports a peer with mental health/substance abuse issues who is new to housing or at-risk of losing housing stability; Peer mentors may also assist clients with tasks such as setting housing goals and solving problems directly related to housing stability
- Connecting the client with services and resources available in the community
- Helping clients make new friends and begin building alternative social networks; Peer mentors may organize activities that range from opportunities to participate in team sports to family-centered holiday celebrations to payday get-togethers that are alcohol- and drug-free. These activities provide a sense of acceptance and belonging to a group, as well as the opportunity to practice new social skills.

6) Client Transportation

BHS funds may be used to provide bus passes and/or taxi vouchers so that clients can attend psychiatric appointments, counseling appointments, substance abuse treatment, and/or other mental health/substance abuse recovery appointments.

System for Collecting and Reporting Program Data

Caritas uses HMIS/ServicePoint for data collection in its social service programs and ensures that direct client services staff receives adequate training on the use of HMIS for data collection. Caritas' Program Managers use ServicePoint as a tool for staff supervision, for program evaluation purposes, and to provide necessary data to Caritas' Grants Manager for grant reporting purposes. Upon the receipt of a grant or contract, the agency has reports designed in ServicePoint that collect the required data for reporting to different funders. Appropriate program staff is trained on the use of respective reports.

Before client data is entered into HMIS, Caritas case managers secure permission to collect and share their data via a signed HMIS Release of Information. Clients have the ability to opt-out of sharing information via HMIS. If a client opts out, client data is entered into HMIS anonymously. We are able to report on performance measures for anonymous clients. However, we cannot provide Zip Code or demographic information for anonymous clients.

The ServicePoint database will be used to record all client data and service transactions for BHS. At program entry, the case manager will document all appropriate information, including the Self-Sufficiency Outcome Matrix (SSOM) baseline score. Information will also be recorded throughout the program and at program exit.

Performance Evaluation

Performance evaluation:

It is the primary responsibility of Supportive Housing program case managers to ensure that BHS performance targets are attained. Each Supportive Housing case manager has been trained on the requirements and expectations of the BHS program.

The Government Grants Manager and Permanent Supportive Housing Program Manager monitor HMIS data quality, program expenditures, and client performance at least monthly. This information gets reported to the Housing Services Director and Chief Financial Officer monthly. The Board of Directors reviews program and fiscal performance at each of their regular meetings.

Quality Improvement

Quality Improvement:

In the first quarter of each calendar year, Department Directors and Program Managers evaluate each program by reviewing budgets and finance reports as well as HMIS data reports used to assess program efficacy. Reports include client SSOM score changes, entry/exits into each program, increases in client income, and length of stay in programs. Gaps in services are also identified during this process. When the annual agency budget process begins in May of each year, Department Directors and Program Managers address program gaps, shift budget funding to address those gaps, and prepare any needed programmatic or personnel changes to address gaps.

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Last Modified, If Applicable 4/29/2016 4:32:00 PM

Program Work Statement

Contract Start Date 9/1/2015 *Contract End Date* 9/30/2018

Service Coordination with Other Agencies

Service Cooperation with Other Agencies:

PSH Case Managers work closely with Foundation Communities Case Managers to ensure that all available supports are provided to clients. The PSH Program Manager will ensure the Peer Mentor program component operates to best support clients receiving peer mentoring services.

Service Collaboration with Other Agencies

Service Collaboration with Other Agencies:

Case Managers who have clients enrolled in BHS meet regularly with the professional counselor and/or psychiatric nurse to coordinate care, plan services, and make adjustments to housing stability plans. The professional counselor and/or psychiatric nurse immediately notify case managers if any kind of immediate intervention is needed.

The psychiatric nurse and professional counselor submit invoices at least monthly. The Permanent Supportive Housing Program Manager reconciles these invoices with HMIS service transactions on a monthly basis.

Case Managers meet with Peer Mentors regularly to discuss their interaction with clients. Case Managers use these meetings to provide direction to the Peer Mentors and to get qualitative data regarding client housing stability needs.

Community Planning Activities

Caritas staff attends quarterly meetings with community refugee services providers such as Project Access, the Texas Office of Immigration and Refugee Affairs, and the City of Austin Refugee Clinic. The Integrated Services Program Director is a board member of Disability Rights Texas, the designated federal Protection and advocacy agency for people with disabilities in Texas.

Caritas is also significantly involved in the homeless/housing service work groups/committees that relate to the Austin/Travis County Continuum of Care. Caritas is a member of ECHO - a local collaboration of homeless service providers, interested organizations and individuals that provides leadership and engages policymakers/the community in ending homelessness.

Program Budget and Narrative

	<i>1</i>	<i>Period 2</i>	<i>3</i>	<i>Contract Start Contract End</i>	<i>9/1/2015 9/30/2018</i>
<i>Period Start Date</i>	9/1/2015	10/1/2016	10/1/2017		
<i>Period End Date</i>	9/30/2016	9/30/2017	9/30/2018	Total	
<i>Salary plus Benefits</i>	\$34,890.00	\$34,890.00	\$34,890.00	\$104,670.00	
<i>General Operations Expenses</i>	\$175,822.00	\$175,822.00	\$175,822.00	\$527,466.00	
<i>Program Subcontractors</i>	\$0.00	\$0.00	\$0.00	\$0.00	
<i>Staff Travel</i>	\$1,000.00	\$1,000.00	\$1,000.00	\$3,000.00	
<i>Conferences</i>	\$614.00	\$614.00	\$614.00	\$1,842.00	
<i>Operations SubTotal</i>	\$177,436.00	\$177,436.00	\$177,436.00	\$532,308.00	
<i>Food and Beverages for Clients</i>	\$0.00	\$0.00	\$0.00	\$0.00	
<i>Financial Direct Assistance to Clients</i>	\$15,000.00	\$15,000.00	\$15,000.00	\$45,000.00	
<i>Other Assistance Amount</i>	\$0.00	\$0.00	\$0.00	\$0.00	
<i>Direct Assistance SubTotal</i>	\$15,000.00	\$15,000.00	\$15,000.00	\$45,000.00	
<i>Capital Outlay Amount</i>	\$0.00	\$0.00	\$0.00	\$0.00	
Total	\$227,326.00	\$227,326.00	\$227,326.00	\$681,978.00	
<i>Total Period Percentage</i>	33.33	33.33	33.33		

Detailed Budget Narrative

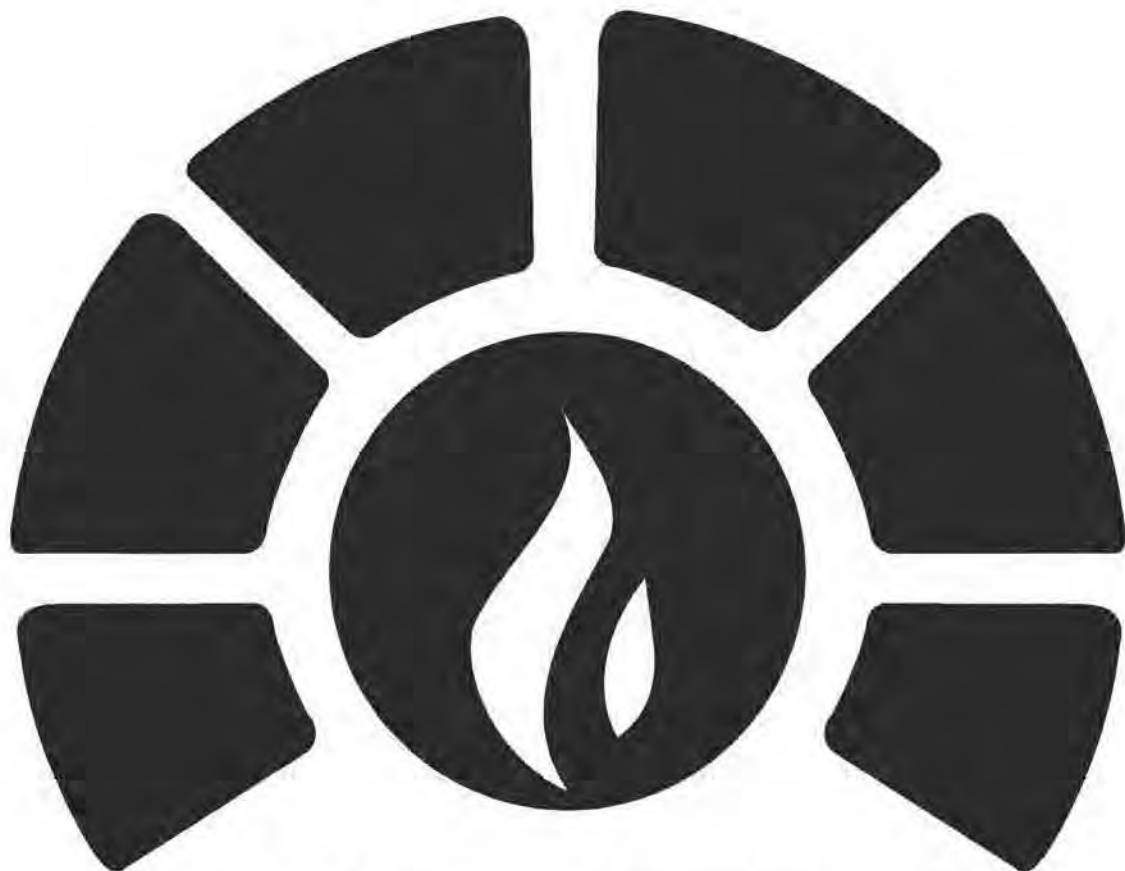
Salaries plus Benefits	<i>Includes partial salary and fringe benefits for case managers, Program Manager, Director of Housing Services, Peer Mentor(s) and administrative staff</i>
General Op Expenses	<i>Includes occupancy, utilities, insurance, security, janitorial, pest control, audit, employee parking, maintenance/repairs, telephone/internet, IT hardware and software support, HMIS user licenses and Advanced Reporting Tool (ART) viewing and adhoc licenses, database, supplies, postage, payroll fees, printing, reproduction, staff mileage reimbursement, translation/interpretation, in-county staff training, peer mentoring certification, substance abuse treatment services, professional counseling services, psychiatric nursing services and other grant related allocated overhead expenses</i>
Program Subcontractors	
Staff Travel	<i>Includes funding to cover the cost of mileage reimbursement, per diem, air fare, car rental, etc. for staff to attend a conference for professional development directly related to the program</i>
Conferences	<i>Includes registration fees for staff to attend a conference for professional development, HMIS ART training or other training directly related to the program</i>
Food and Beverage	
Financial Assistance	<i>Bus passes/ taxi vouchers for clients to attend mental/behavioral health related appointments</i>
Other Assistance	
Capital Outlay	

Applications Funded in Response to RFP EAD0116
Self Sufficiency Social Services

Evaluation Score	Agency Name	Program Name	37-Month Funding	3, 12-Month Extension Options	Total Contract Amount
118	Youth & Family Alliance (Lifeworks)	Collective Impact Continuum	\$2,428,800	\$809,600	\$4,857,600
115	Meals on Wheels and More	Meals on Wheels	\$1,302,849	\$434,283	\$2,605,698
115	Any Baby Can	Ready Families Collaborative (C-11)	\$4,459,737	\$1,486,579	\$8,919,474
115	Austin Child Guidance Center	Underserved Families Mental Health Program	\$536,376	\$178,792	\$1,072,752
114	Casa Marianella	Emergency Shelter	\$544,320	\$181,440	\$1,088,640
113	Communities in Schools	Case Management & Pebble Project	\$1,427,469	\$475,823	\$2,854,938
113	Travis County Domestic ... (SafePlace)	Expect Respect	\$494,760	\$164,920	\$989,520
113	Theatre Action Project (Creative Action)	Del Valle Collaborative Afterschool Program (C-3)	\$845,934	\$281,978	\$1,691,868
113	Family Eldercare	Living Well Collaborative (C-6)	\$514,764	\$171,588	\$1,029,528
111	Travis County Domestic ... (SafePlace)	Victim Services	\$2,166,000	\$722,000	\$4,332,000
111	Family Eldercare	Counseling Services	\$164,955	\$54,985	\$329,910
111	Caritas of Austin	BSS+ (C-12)	\$9,992,721	\$3,330,907	\$19,985,442
110	Austin Recovery	Self Sufficiency Continuum Services	\$1,371,249	\$457,083	\$2,742,498
110	Caritas of Austin	Mental and Behavioral Health Services	\$643,377	\$214,459	\$1,286,754
110	The ARC of the Capital Area	Family & Juvenile Transition Services	\$183,726	\$61,242	\$367,452
109	Family Eldercare	Money Management	\$210,000	\$70,000	\$420,000
109	Foundation Communities	Afterschool Summer Youth Program	\$420,000	\$140,000	\$840,000
109	Capital Area Food Bank	Food Bank Services	\$681,141	\$227,047	\$1,362,282
109	Foundation Communities	Tax Prep & Financial Programs	\$371,250	\$123,750	\$742,500
108	VinCare Services of Austin	Saint Louise House	\$273,000	\$91,000	\$546,000
107	Helping the Aging, Needy and Disabled (HAND)	Charitable Care/Sliding Scale	\$120,933	\$40,311	\$241,866
106	Samaritan Center	Whole Body Mental Health Services	\$285,390	\$95,130	\$570,780
106	Foundation for the Homeless	Family Rehousing Initiative	\$713,958	\$237,986	\$1,427,916
106	Austin Children's Shelter	Wrap Around Residential Program	\$264,600	\$88,200	\$529,200
105	Planned Parenthood	Sisters Saving Sisters Program	\$144,612	\$48,204	\$289,224
105	Family Eldercare	Medication Management	\$163,800	\$54,600	\$327,600

Evaluation Score	Agency Name	Program Name	37-Month Funding	3, 12-Month Extension Options	Total Contract Amount
105	Workforce Solutions	Workforce and Education Readiness Continuum (C-13)	\$7,520,967	\$2,506,989	\$15,041,934
104	Salvation Army	Pathways & Partnerships	\$681,864	\$227,288	\$1,363,728
103	Court Appointed Special Advocates (CASA)	Transitioning Youth Program	\$120,000	\$40,000	\$240,000
102	Goodwill Industries Central Texas	Ready to Work	\$2,095,977	\$698,659	\$4,191,954
99	Easter Seals	Housing Services, Early Childhood, Comprehensive Outpatient Rehab, Youth Leaving Services, Adult Services	\$1,002,735	\$334,245	\$2,005,470
97	African American Youth Harvest Foundation	Enrichment of Low Income Youth	\$489,774	\$163,258	\$979,548
97	Texas Rio Grande Legal Aid	Legal Services	\$548,346	\$182,782	\$1,096,692
92	YWCA	YW Counseling & Referral Ctr (YWERC)	\$348,714	\$116,238	\$697,428
90	Austin ISD	Victory	\$615,600	\$205,200	\$1,231,200
82	Austin ISD	Primetime	\$1,921,833	\$640,611	\$3,843,666
82	Child Inc.	Early Steps to School Readiness Summer and After School Program	\$1,293,750	\$431,250	\$2,587,500
*	Council on At-Risk Youth (CARY)	Ounce of Prevention	\$480,000	\$160,000	\$960,000
*	River City Youth Foundation	Dove Springs	\$350,400	\$116,800	\$700,800
Total					\$96,391,362
* Council on At-Risk Youth (CARY) and River City Youth Foundation were disqualified from the RFA process by the Purchasing Office due to non-compliance with the solicitation requirements.					

Caritas of Austin
Mental and Behavioral Health Services (MBHS)
Offer Sheet



CARITAS



CITY OF AUSTIN, TEXAS

Purchasing Office REQUEST FOR APPLICATION (RFA)

SOLICITATION NO: EAD0116

DATE ISSUED: 2/24/14

COMMODITY CODE: 95243

**FOR CONTRACTUAL AND TECHNICAL
ISSUES CONTACT THE FOLLOWING
AUTHORIZED CONTACT PERSON:**

Erin D'Vincent

Senior Buyer

Phone: (512) 972-4017

E-Mail: Erin.D'Vincent@austintexas.gov

Questions regarding the RFA shall be sent to
CityHSRFA2014@austintexas.gov

COMMODITY/SERVICE DESCRIPTION: Self Sufficiency Social Services

**NON-MANDATORY PRE-PROPOSAL CONFERENCE DATE AND
TIME OPTION ONE:** 3/5/14, 2 PM – 4 PM, local time

LOCATION: Rutherford Lane Campus, Building 1 Auditorium
1520 Rutherford Lane, Austin, TX 78754

**NON-MANDATORY PRE-PROPOSAL CONFERENCE DATE AND
TIME OPTION TWO:** 3/19/14, 9 AM – 11 AM, local time

LOCATION: Rutherford Lane Campus, Building 1 Auditorium
1520 Rutherford Lane, Austin, TX 78754

APPLICATION DUE PRIOR TO: 4/24/14, 11 AM, local time

APPLICATION CLOSING TIME AND DATE: 4/24/14, 11 AM, local time

LOCATION: MUNICIPAL BUILDING, 124 W 8th STREET
RM 308, AUSTIN, TEXAS 78701

All documents shall be submitted the address below:

City of Austin, Purchasing Office
Municipal Building
124 W 8 th Street, Rm 308
Austin, Texas 78701
Reception Phone: (512) 974-2500

Please note, you should have two sealed envelopes with your Offer. All Offers that are not submitted in separate, sealed envelopes or containers will not be considered. Your Offer should consist of a sealed envelope or container with your Threshold Review Checklist and all accompanying documents and a separate sealed envelope or container with your Application and electronic copies.

**SUBMIT 1 ORIGINAL AND 6 ELECTRONIC COPIES OF YOUR RESPONSE ON A CD OR
FLASH DRIVE**

*****SIGNATURE FOR SUBMITTAL REQUIRED ON PAGE 3 OF THIS DOCUMENT*****

This solicitation is comprised of the following required sections. Please ensure to carefully read each section including those incorporated by reference. By signing this document, you are agreeing to all the items contained herein and will be bound to all terms.

SECTION NO.	TITLE	PAGES
0100	STANDARD PURCHASE DEFINITIONS	*
0200	STANDARD SOLICITATION INSTRUCTIONS	*
0300	STANDARD PURCHASE TERMS AND CONDITIONS	*
0400	SUPPLEMENTAL PURCHASE PROVISIONS	5
0500	SCOPE OF WORK	10
0600	PROPOSAL PREPARATION INSTRUCTIONS & EVALUATION FACTORS	14
0605	LOCAL BUSINESS PRESENCE IDENTIFICATION FORM – Complete and return	1
0610	APPLICATION THRESHOLD CHECKLIST	1
0615	CONNECTION TO THE GOALS AND CATEGORIES	1
0620	CLIENT ELIGIBILITY REQUIREMENTS	4
0625	HOMELESS HOUSING HABILITY STANDARDS	1
0630	HOMELESS MANAGEMENT INFORMATION SYSTEMS	1
0635	DEFINING EVIDENCE GUIDLINE	1
0640	PROGRAM PERFORMANCE MEASURES AND GOALS	1
0645	PROGRAM STAFF POSITIONS AND TIME	1
0650	PROGRAM BUDGET AND NARRATIVE	4
0655	PROGRAM FUNDING SUMMARY	1
0800	NON-DISCRIMINATION CERTIFICATION	*
0805	NON-SUSPENSION OR DEBARMENT CERTIFICATION	*
0810	NON-COLLUSION, NON-CONFLICT OF INTEREST, AND ANTI-LOBBYING CERTIFICATION	*
0835	NONRESIDENT BIDDER PROVISIONS – Complete and return	1

*** Documents are hereby incorporated into this Solicitation by reference, with the same force and effect as if they were incorporated in full text. The full text versions of these Sections are available, on the Internet at the following online address:**

http://www.austintexas.gov/financeonline/vendor_connection/index.cfm#STANDARDBIDDOCUMENTS

If you do not have access to the Internet, you may obtain a copy of these Sections from the City of Austin Purchasing Office located in the Municipal Building, 124 West 8th Street, Room #308 Austin, Texas 78701; phone (512) 974-2500. Please have the Solicitation number available so that the staff can select the proper documents. These documents can be mailed, expressed mailed, or faxed to you.

I agree to abide by the City's MBE/WBE Procurement Program Ordinance and Rules. In cases where the City has established that there are no M/WBE subcontracting goals for a solicitation, I agree that by submitting this offer my firm is completing all the work for the project and not subcontracting any portion. If any service is needed to perform the contract that my firm does not perform with its own workforce or supplies, I agree to contact the Small and Minority Business Resources Department (SMBR) at (512) 974-7600 to obtain a list of MBE and WBE firms available to perform the service and am including the completed No Goals Utilization Plan with my submittal. This form can be found Under the Standard Bid Document Tab on the Vendor Connection Website:

http://www.austintexas.gov/financeonline/vendor_connection/index.cfm#STANDARDBIDDOCUMENTS

If I am awarded the contract I agree to continue complying with the City's MBE/WBE Procurement Program Ordinance and Rules including contacting SMBR if any subcontracting is later identified.

The undersigned, by his/her signature, represents that he/she is submitting a binding offer and is authorized to bind the respondent to fully comply with the solicitation document contained herein. The Respondent, by submitting and signing below, acknowledges that he/she has received and read the entire document packet sections defined above including all documents incorporated by reference, and agrees to be bound by the terms therein.

Company Name: Caritas of Austin

Federal Tax ID No.:

Printed Name of Officer or Authorized Representative: Jo Kathryn Quinn

Title: Executive Director

Signature of Officer or Authorized Representative:

E-Mail Address: jkquinn@caritasofaustin.org

Phone Number: 512-646-1252

* Application response must be submitted with this Offer sheet to be considered for award



**CONTRACT BETWEEN
THE CITY OF AUSTIN
AND
CARITAS OF AUSTIN
FOR**

SOCIAL SERVICES
(Behavioral Health Services)

CONTRACT NO. NG150000019

CONTRACT AMOUNT: \$643,377

This Contract is made by and between the City of Austin ("the City") acting by and through its Health and Human Services Department ("HHSD"), a home-rule municipality incorporated by the State of Texas, and Caritas of Austin ("Contractor"), a Texas non-profit corporation, having offices at 611 Neches, Austin, TX 78701.

SECTION 1. GRANT OF AUTHORITY, SERVICES AND DUTIES

1.1 **Engagement of the Contractor.** Subject to the general supervision and control of the City and subject to the provisions of the Terms and Conditions contained herein, the Contractor is engaged to provide the services set forth in the attached Contract Exhibits.

1.2 **Responsibilities of the Contractor.** The Contractor shall provide all technical and professional expertise, knowledge, management, and other resources required for accomplishing all aspects of the tasks and associated activities identified in the Contract Exhibits. The Contractor shall assure that all Contract provisions are met by the Subcontractor.

1.3 **Responsibilities of the City.** The City's Contract Manager will be responsible for exercising general oversight of the Contractor's activities in completing the Program Work Statement. Specifically, the Contract Manager will represent the City's interests in resolving day-to-day issues that may arise during the term of this Contract, shall participate regularly in conference calls or meetings for status reporting, shall promptly review any written reports submitted by the Contractor, and shall approve all requests for payment, as appropriate. The City's Contract Manager shall give the Contractor timely feedback on the acceptability of progress and task reports. The Contract Manager's oversight of the Contractor's activities shall be for the City's benefit and shall not imply or create any partnership or joint venture as between the City and the Contractor.

1.4 **Designation of Key Personnel.** The City's Contract Manager for this Contract, to the extent stated in the preceding section 1.3, shall be responsible for oversight and monitoring of Contractor's performance under this Contract as needed to represent the City's interest in the Contractor's performance.

1.4.1 The City's Contract Manager, Vella Karman or designee:

- may meet with Contractor to discuss any operational issues or the status of the services or work to be performed; and

- shall promptly review all written reports submitted by Contractor, determine whether the reports comply with the terms of this Contract, and give Contractor timely feedback on the adequacy of progress and task reports or necessary additional information.

1.4.2 Contractor's Contract Manager, Jo Kathryn Quinn, Executive Director, or designee, shall represent the Contractor with regard to performance of this Contract and shall be the designated point of contact for the City's Contract Manager.

1.4.3 If either party replaces its Contract Manager, that party shall promptly send written notice of the change to the other party. The notice shall identify a qualified and competent replacement and provide contact information.

SECTION 2. TERM

2.1 **Term of Contract.** The Contract shall be in effect for a term of thirty seven (37) months beginning September 1, 2015 and ending September 30, 2018, and may be extended thereafter for up to three (3) additional twelve (12) month periods, subject to the approval of the Contractor and the City Purchasing Officer or their designee.

2.1.1 Upon expiration of the initial term or period of extension, the Contractor agrees to hold over under the terms and conditions of this Contract for such a period of time as is reasonably necessary to re-solicit and/or complete the project (not to exceed 120 calendar days unless mutually agreed upon in writing).

SECTION 3. PROGRAM WORK STATEMENT

3.1 **Contractor's Obligations.** The Contractor shall fully and timely provide all services described in the attached Contract Exhibits in strict accordance with the terms, covenants, and conditions of the Contract and all applicable Federal, State, and local laws, rules, and regulations.

SECTION 4. COMPENSATION AND REPORTING

4.1 **Contract Amount.** The Contractor acknowledges and agrees that, notwithstanding any other provision of this Contract, the maximum amount payable by the City under this Contract for the initial thirty seven (37) month term shall not exceed the amount approved by City Council, which is **\$643,377 (Six Hundred Forty Three Thousand Three Hundred Seventy Seven dollars)**, and \$214,459 (*Two Hundred Fourteen Thousand Four Hundred Fifty Nine dollars*) per twelve (12) month extension option, for a total Contract amount of \$1,286,754. Continuation of the Contract beyond the initial thirty seven (37) months is specifically contingent upon the availability and allocation of funding by City Council.

4.1.1 The Contractor shall expend City funds according to the approved budget categories described in Exhibit B.1, Program Budget and Narrative.

4.1.1.1 **Budget Revision:** The Contractor may make transfers between or among budget categories with the City Contract Manager's prior approval, provided that:

- i. The cumulative amount of the transfers between direct budget categories (Personnel, Operating Expenses, Direct Assistance and/or Equipment/Capital Outlay) is not more than 10% of the program period total –or– \$50,000, whichever is less;
- ii. the transfer will not increase or decrease the total monetary obligation of the City under this Contract; and
- iii. the transfers will not change the nature, performance level, or scope of the program funded under this Contract.

4.1.1.2 Transfers between or among budget categories in excess of 10% will require the City Contract Manager's approval, and must meet all of the conditions outlined in Section 4.1.1.1 (ii) and (iii) above.

- i. The CONTRACTOR must submit a Budget Revision Form to the City **prior** to the submission of the CONTRACTOR'S first monthly billing to the City following the transfer.

4.1.2 Payment to the Contractor shall be made in the following increments:

4.1.2.1 For the Program Period of September 1, 2015 through September 30, 2016, the payment from the City to the Contractor shall not exceed \$214,459 (*Two Hundred Fourteen Thousand Four Hundred Fifty Nine dollars*);

4.1.2.2 For the Program Period of October 1, 2016 through September 30, 2017, the payment from the City to the Contractor shall not exceed \$214,459 (*Two Hundred Fourteen Thousand Four Hundred Fifty Nine dollars*);

4.1.2.3 For the Program Period of October 1, 2017 through September 30, 2018, the payment from the City to the Contractor shall not exceed \$214,459 (*Two Hundred Fourteen Thousand Four Hundred Fifty Nine dollars*).

4.2 **Requests for Payment.**

Payment to the Contractor shall be due thirty (30) calendar days following receipt by the City of Contractor's fully and accurately completed "Payment Request" and "Monthly Expenditure Report", using forms at <http://www.ckodm.com/austin/>. The payment request and expenditure report must be submitted to the City no later than 5:00 p.m. Central Time fifteen (15) calendar days following the end of the month covered by the request and expenditure report. **If the fifteenth (15th) calendar day falls on a weekend or holiday, as outlined in Section 8.24, the deadline to submit the payment request and expenditure report is extended to no later than 5:00 p.m. Central Time of the first (1st) weekday immediately following the weekend or holiday.** Contractor must provide the City with supporting documentation for each monthly Payment Request which includes, but not limited to, a report of City contract expenditures generated from the Contractor's financial management system. Examples of appropriate supporting documentation **MAY** include, but are not limited to:

- General Ledger Detail report from the contractor's financial management system
- Profit & Loss Detail report from the contractor's financial management system
- Check ledger from the contractor's financial management system
- Payroll reports and summaries, including salary allocation reports and signed timesheets
- Receipts and invoices
- Copies of checks and bank statements showing transactions as cleared

The City retains right of final approval of any supporting documentation submitted before a Payment Request is approved for processing. Failure to provide supporting documentation acceptable to the City may result in delay or rejection of the Payment Request. The City reserves the right to modify the required supporting documentation, as needed.

4.2.1 Unless otherwise expressly authorized in the Contract, the Contractor shall pass through all Subcontract and other authorized expenses at actual cost without markup.

4.2.2 Federal excise taxes, State taxes, or City sales taxes must not be included in the invoiced amount. The City will furnish a tax exemption certificate upon request.

4.3 **Payment.**

4.3.1 All requests for payment received by the City will be paid within thirty (30) calendar days of the City's receipt of the deliverables or of the invoice, whichever is later. Requests for payment received without all required information cannot be processed and will be returned to the Contractor.

4.3.2 If payment is not timely made, (per this paragraph), interest shall accrue on the unpaid balance at the lesser of the rate specified in Texas Government Code Section 2251.025 or the maximum lawful rate; except, if payment is not timely made for a reason for which the City may withhold payment hereunder, interest shall not accrue until ten (10) calendar days after the grounds for withholding payment have been resolved.

4.3.3 The City may withhold or set off the entire payment or part of any payment otherwise due the Contractor to such extent as may be necessary on account of;

4.3.3.1 delivery of unsatisfactory services by the Contractor;

4.3.3.2 third party claims, which are not covered by the insurance which the Contractor is required to provide, are filed or reasonable evidence indicating probable filing of such claims;

4.3.3.3 failure of the Contractor to pay Subcontractors, or for labor, materials or equipment,

4.3.3.4 damage to the property of the City or the City's agents, employees or contractors, which is not covered by insurance required to be provided by the Contractor;

4.3.3.5 reasonable evidence that the Contractor's obligations will not be completed within the time specified in the Contract, and that the unpaid balance would not be adequate to cover actual or liquidated damages for the anticipated delay;

4.3.3.6 failure of the Contractor to submit proper payment requests and expenditure reports with all required attachments and supporting documentation;

4.3.3.7 failure of the Contractor to comply with any material provision of the Contract; or

4.3.4 Notice is hereby given of Article VIII, Section 1 of the Austin City Charter which prohibits the payment of any money to any person, firm or corporation who is in arrears to the City for taxes, and of §2-8-3 of the Austin City Code concerning the right of the City to offset indebtedness owed the City. Payment will be made by check unless the parties mutually agree to payment by electronic transfer of funds.

4.4 **Non-Appropriation.** The awarding or continuation of this Contract is dependent upon the availability of funding. The City's payment obligations are payable only and solely from funds appropriated and available for this Contract. The absence of appropriated or other lawfully available funds shall render the Contract null and void to the extent funds are not appropriated or available and any deliverables delivered but unpaid shall be returned to the Contractor. The City shall provide the Contractor written notice of the failure of the City to make an adequate appropriation for any fiscal year to pay the amounts due under the Contract, or the reduction of any appropriation to an amount insufficient to permit the City to pay its obligations under the Contract. In the event of non- or inadequate appropriation of funds, there will be no penalty nor removal fees charged to the City.

4.5 **Travel Expenses.** All approved travel, lodging, and per diem expenses in connection with the Contract for which reimbursement may be claimed by the Contractor under the terms of the Contract will be reviewed against the City's Travel Policy and the current United States General Services Administration Domestic Per Diem Rates (the "Rates") as published and maintained on the Internet at: <http://www.gsa.gov/portal/category/21287>

No amounts in excess of the Travel Policy or Rates shall be paid. No reimbursement will be made for expenses not actually incurred. Airline fares in excess of coach or economy will not be reimbursed. Mileage charges may not exceed the amount permitted as a deduction in any year under the Internal Revenue Code or Regulation.

4.6 **Final Payment and Close-Out.**

4.6.1 The making and acceptance of final payment will constitute:

4.6.1.1 a waiver of all claims by the City against the Contractor, except claims (1) which have been previously asserted in writing and not yet settled, (2) arising from defective work appearing after final inspection, (3) arising from failure of the Contractor to comply with the Contract or the terms of any warranty specified herein, regardless of when the cause for a claim is discovered (4) arising from the Contractor's continuing obligations under the Contract, including but not limited to indemnity and warranty obligations, or (5) arising under the City's right to audit; and

4.6.1.2 a waiver of all claims by the Contractor against the City other than those previously asserted in writing and not yet settled.

4.7 **Financial Terms.**

4.7.1 The City agrees to pay Contractor for services rendered under this Contract and to reimburse Contractor for actual, eligible expenses incurred and billed in accordance with all terms and conditions of this Contract. The City shall not be liable to Contractor for any costs incurred by Contractor which are not reimbursable as set forth in Section 4.8.

4.7.2 The City's obligation to pay is subject to the timely receipt of complete and accurate reports as set forth in Section 4.9 and any other deliverable required under this Contract.

4.7.3 Payments to the Contractor will immediately be suspended upon the occasion of any late, incomplete, or inaccurate report, audit, or other required report or deliverable under this Contract, and payments will not be resumed until the Contractor is in full compliance.

4.7.4 The City shall not be liable to Contractor for any costs which have been paid under other agreements or from other funds. In addition, the City shall not be liable for any costs incurred by Contractor which were: a) incurred prior to the effective date of this Contract, or b) not billed to the City within sixty (60) calendar days following termination date of this Contract.

4.7.5 Contractor agrees to refund to the City any funds paid under this Contract which the City determines have resulted in overpayment to Contractor or which the City determines have not been spent by Contractor in accordance with the terms of this Contract. Refunds shall be made by Contractor within thirty (30) calendar days after a written refund request is submitted by the City. The City may, at its discretion, offset refunds due from any payment due Contractor, and the City may also deduct any loss, cost, or expense caused by Contractor from funds otherwise due.

4.7.6 Contractor shall deposit and maintain all funds received under this Contract in either a separate numbered bank account or a general operating account, either of which shall be supported with the maintenance of a separate accounting with a specific chart which reflects specific revenues and expenditures for the monies received under this Contract. The Contractor's accounting system must identify the specific expenditures, or portions of expenditures, against which funds under this Contract are disbursed.

4.7.7 Contractor is required to utilize an online contract management system for billing and reporting in accordance with the City's guidelines, policies, and procedures. Contractor is responsible for all data entered/edited under its unique username, as well as all required but omitted data.

4.7.8 Contractor shall expend the City budget in a reasonable manner in relation to contract time elapsed and/or contract program service delivery schedule. If cumulative expenditures are not within acceptable amounts, the City may require the Contractor to: 1) submit an expenditure plan, and/or 2) amend the contract budget amount to reflect projected expenditures, as determined by the City.

4.8 Allowable and Unallowable Costs.

The City shall make the final determination of whether a cost is allowable or unallowable under this Contract.

4.8.1 Reimbursement Only. Expenses and/or expenditures shall be considered reimbursable only if incurred during the current Program Period identified in Section 4.1.2, directly and specifically in the performance of this Contract, and in conformance with the Contract Exhibits. Contractor agrees that, unless otherwise specifically provided for in this Contract, payment by the City under the terms of this Contract is made on a reimbursement basis only; Contractor must have incurred and paid costs prior to those costs being invoiced and considered allowable under this Contract and subject to payment by the City.

4.8.2 To be allowable under this Contract, a cost must meet all of the following general criteria:

1. Be reasonable for the performance of the activity under the Contract.
2. Conform to any limitations or exclusions set forth in this Contract.
3. Be consistent with policies and procedures that apply uniformly to both government-financed and other activities of the organization.
4. Be determined and accounted in accordance with generally accepted accounting principles (GAAP).
5. Be adequately documented.

4.8.3 The City's prior written authorization is required in order for the following to be considered allowable costs. Inclusion in the budget within this Contract constitutes "written authorization". The item shall be specifically identified in the budget.

1. Alteration, construction, or relocation of facilities
2. Depreciation.
3. Equipment and other capital expenditures.
4. Interest, other than mortgage interest as part of a pre-approved budget under this Contract
5. Organization costs (costs in connection with the establishment or reorganization of an organization)
6. Public relations costs, except reasonable, pre-approved advertising costs related directly to services provided under this Contract
7. Purchases of tangible, nonexpendable property, including fax machines, stereo systems, cameras, video recorder/players, microcomputers, software, printers, microscopes, oscilloscopes, centrifuges, balances and incubator, or any other item having a useful life of more than one year and an acquisition cost, including freight, of over five thousand dollars (\$5,000)
8. Selling and marketing
9. Travel/training outside Travis County

4.8.4 The following types of expenses are specifically **not allowable** with City funds under this Contract:

1. Alcoholic beverages
2. Bad debts
3. Compensation of trustees, directors, officers, or advisory board members, other than those acting in an executive capacity
4. Contingency provisions (funds). (Self-insurance reserves and pension funds are allowable.)
5. Defense and prosecution of criminal and civil proceedings, claims, appeals and patent infringement
6. Deferred costs
7. Donations and contributions including donated goods or space
8. Entertainment costs
9. Fines and penalties (including late fees)
10. Fundraising and development costs
11. Goods or services for officers' or employees' personal use
12. Housing and personal living expenses for organization's officers or employees
13. Idle facilities and idle capacity
14. Litigation-related expenses (including personnel costs) in action(s) naming the City as a Defendant
15. Lobbying or other expenses related to political activity
16. Losses on other agreements or contracts or casualty losses
17. Taxes, other than payroll and other personnel-related levies

4.9 **Reports.**

4.9.1 Contractor must submit a fully and accurately completed "Payment Request" and "Monthly Expenditure Report" to the City's Contract Manager using the forms shown at <http://www.ckodm.com/austin/> by the deadline outlined in section 4.2. Contractor must provide complete and accurate supporting documentation. Upon receipt and approval by the City of each complete and accurate Payment Request and Monthly Expenditure Report, the City shall process payment to the Contractor of an amount equal to the City's payment obligations, subject to deduction for any unallowable costs.

4.9.2 Contractor shall submit a quarterly performance report using the format and method specified by the City no later than fifteen (15) calendar days following each calendar quarter. If the fifteenth (15th) calendar day falls on a weekend or holiday, as outlined in Section 8.24, the deadline to submit the quarterly performance report is extended to no later than 5:00 p.m. Central Time of the first (1st) weekday immediately following the weekend or holiday. Contractor shall provide complete and accurate supporting documentation upon request by City. Payment Requests will not be approved if

any accurate and complete performance report, including any required documentation, is past due. Performance reports on a frequency other than quarterly may be required by the City based upon business needs.

4.9.3 An annual Contract Progress Report, using the forms shown at <http://www.ckodm.com/austin/>, shall be completed by the Contractor and submitted to the City within sixty (60) calendar days following the end of each Program Period identified in section 4.1.2.

4.9.4 A Contract Closeout Summary report using the forms shown at <http://www.ckodm.com/austin/> shall be completed by the Contractor and submitted to the City within sixty (60) calendar days following the expiration or termination of this Contract. Any encumbrances of funds incurred prior to the date of termination of this Contract shall be subject to verification by the City. Upon termination of this Contract, any unused funds, unobligated funds, rebates, credits, or interest earned on funds received under this Contract shall be returned to the City.

4.9.5 Contractor shall provide the City with a copy of the completed Administrative and Fiscal Review (AFR) using the forms shown at <http://www.ckodm.com/austin/>, and required AFR Attachments, including a copy of the Contractor's completed Internal Revenue Service Form 990 or 990EZ (Return of Organization Exempt from Income Tax) if applicable, for each calendar year no later than May 31st of each year. If Contractor filed a Form 990 or Form 990EZ extension request, Contractor shall provide the City with a copy of that application of extension of time to file (IRS Form 2758) within thirty (30) days of filing said form(s), and a copy of the final IRS Form 990 document(s) immediately upon completion.

4.9.6 Contractor shall provide other reports required by the City to document the effective and appropriate delivery of services as outlined under this Contract as required by the City.

4.10 **Contractor Policies and Procedures.** Contractor shall maintain written policies and procedures approved by its governing body and shall make copies of all policies and procedures available to the City upon request. At a minimum, written policies shall exist in the following areas: Financial Management; Subcontracting and/or Procurement; Equal Employment Opportunity; Personnel and Personnel Grievance; Nepotism; Non-Discrimination of Clients; Client Grievance; Drug Free Workplace; the Americans With Disabilities Act; and Criminal Background Checks.

4.11 **Monitoring and Evaluation.**

4.11.1 Contractor agrees that the City or its designee may carry out monitoring and evaluation activities to ensure adherence by the Contractor and Subcontractors to the Program Work Statement, Program Performance Measures, and Program Budget, as well as other provisions of this Contract. Contractor shall fully cooperate in any monitoring or review by the City and further agrees to designate a staff member to coordinate monitoring and evaluation activities.

4.11.2 The City expressly reserves the right to monitor client-level data related to services provided under this contract. If the Contractor asserts that client-level data is legally protected from disclosure to the City, a specific and valid legal reference to this assertion must be provided.

4.11.3 Contractor shall provide the City with copies of all evaluation or monitoring reports received from other funding sources during the Contract Term within twenty (20) working days following the receipt of the final report.

4.11.4 Contractor shall keep on file copies of all notices of Board of Directors meetings, Subcommittee or Advisory Board meetings, and copies of approved minutes of those meetings.

4.12 **Financial Audit of Contractor.**

4.12.1 In the event Contractor expends \$750,000 or more in a year in federal awards, Contractor shall have a single or program specific audit conducted in accordance with Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations as required by the Single Audit Act of 1984, as amended (Single Audit Act), and shall submit to the City a complete set of audited financial

statements and the auditor's opinion and management letters in accordance with Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations and any guidance issued by the federal Office of Management and Budget covering Contractor's fiscal year until the end of the term of this Contract.

4.12.2 If Contractor is not subject to the Single Audit Act, and expends seven hundred fifty thousand dollars (\$750,000) or more during the Contractor's fiscal year, then Contractor shall have a full financial audit performed. If less than seven hundred fifty thousand dollars (\$750,000) is expended, then a financial review is acceptable, pursuant to the requirements of this Contract.

4.12.3 Contractor shall contract with an independent auditor utilizing a Letter of Engagement. The auditor must be a Certified Public Accountant recognized by the regulatory authority of the State of Texas.

4.12.4 Contractor must submit one (1) Board-approved, bound hard copy of a complete financial audit report or financial review, to include the original auditor opinion, within one hundred eighty (180) calendar days of the end of Contractor's fiscal year, unless alternative arrangements are approved in writing by the City. The financial audit report/financial review must include the Management Letter if one was issued by the auditor. Contractor may not submit electronic copies of financial audit reports/financial reviews to the City. Financial audit reports/financial reviews must be provided in hard copy, and either mailed or hand-delivered to the City.

4.12.5 The City will contact the independent auditor to verify:

- i. That the auditor completed the financial audit report/financial review received from the Contractor;
- ii. That the auditor presented the financial audit report/financial review to the Contractor's Board of Directors or a committee of the Board, and;
- iii. The date the financial audit report/financial review was presented to the Contractor's Board of Directors or a committee of the Board.

4.12.6 The City will contact the Board Chair to verify that the auditor presented the financial audit report/financial review to the Contractor's Board of Directors or a committee of the Board.

- i. Contractor's Board Chair must submit a signed and dated copy of the HHSD Board Certification form to the City as verification.
- ii. In lieu of the Board Certification form, Contractor must submit a signed and copy of the approved Board meeting minutes to the City, indicating the following:
 - a) The Board of Directors, or a committee of the Board, has met with the independent auditor;
 - b) The Board of Directors has authorized and accepted the financial audit report/financial review.

A signed and dated copy of the HHSD Board Certification form, or approved and signed Board minutes reflecting acceptance of the financial audit report/financial review will be due to the City within forty-five (45) days after the audit is due to the City. Board minutes regarding approval of the Contractor's financial audit report/financial review will be verified with the Contractor's Board Chair. The City will deem the financial audit report/financial review incomplete if Contractor fails to submit either the Board Certification form or the Board minutes as required by this section 4.12.6.

4.12.7 The inclusion of any Findings or a Going Concern Uncertainty, as defined by Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations and Generally Accepted Auditing Standards (GAAS), in a Contractor's audit requires the creation and submission to the City of a corrective action plan formally approved by the Contractor's governing board. The plan must be submitted to the City within 60 days after the audit is due to the City. Failure to submit an adequate plan to the City may result in the immediate suspension of funding. If adequate improvement related to the audit findings is not documented within a reasonable period of time, the City may provide additional technical assistance, refer the Agreement to the City Auditor for analysis, or move to terminate the Agreement as specified in Section 5 of the Agreement.

4.12.8 The expiration or termination of this Contract shall in no way relieve the Contractor of the audit requirement set forth in this Section.

4.12.9 Right To Audit By Office of City Auditor.

4.12.9.1 Contractor agrees that the representatives of the Office of the City Auditor, or other authorized representatives of the City, shall have access to, and the right to audit, examine, and copy any and all records of the Contractor related to the performance under this Agreement during normal business hours (Monday – Friday, 8 am – 5 pm). In addition to any other rights of termination or suspension set forth herein, the City shall have the right to immediately suspend the Agreement, upon written notice to Contractor, if Contractor fails to cooperate with this audit provision. The Contractor shall retain all such records for a period of five (5) years after the expiration or early termination of this Agreement or until all audit and litigation matters that the City has brought to the attention of the Contractor are resolved, whichever is longer. The Contractor agrees to refund to the City any overpayments disclosed by any such audit.

4.12.9.2 Contractor shall include this audit requirements in any subcontracts entered into in connection with this Agreement.

4.13 Ownership of Property.

4.13.1 Ownership title to all capital acquisition, supplies, materials or any other property purchased with funds received under this Contract and in accordance with the provisions of the Contract, is vested with the City and such property shall, upon termination of the Contract, be delivered to the City upon request.

4.13.2 Written notification must be given to the City within five (5) calendar days of delivery of nonexpendable property (defined as anything that has a life or utility of more than one (1) year and an acquisition cost, including freight, of over five thousand dollars (\$5,000)) in order for the City to effect identification and recording for inventory purposes. Contractor shall maintain adequate accountability and control over such property, maintain adequate property records, perform an annual physical inventory of all such property, and report this information in the annual Contract Progress Report, due sixty (60) days after the end of each Program Period, as well as in the Closeout Summary Report, due sixty (60) days after the end of the Contract Term.

4.13.3 In the event Contractor's services are retained under a subsequent agreement, and should Contractor satisfactorily perform its obligations under this Contract, Contractor shall be able to retain possession of non-expendable property purchased under this Contract for the duration of the subsequent agreement.

4.13.4 Property purchased with City funds shall convey to Contractor two (2) years after purchase, unless notified by the City in writing.

SECTION 5. TERMINATION

5.1 **Right To Assurance.** Whenever one party to the Contract in good faith has reason to question the other party's intent to perform, demand may be made to the other party for written assurance of the intent to perform. In the event that no assurance is given within the time specified after demand is made, the demanding party may treat this failure as an anticipatory repudiation of the Contract.

5.2 **Default.** The Contractor shall be in default under the Contract if the Contractor (a) fails to fully, timely and faithfully perform any of its material obligations under the Contract, (b) fails to provide adequate assurance of performance under the "Right to Assurance paragraph herein, (c) becomes insolvent or seeks relief under the bankruptcy laws of the United States or (d) makes a material misrepresentation in Contractor's Offer, or in any report or deliverable required to be submitted by Contractor to the City.

- 5.3 **Termination For Cause.** In the event of a default by the Contractor, the City shall have the right to terminate the Contract for cause, by written notice effective ten (10) calendar days, unless otherwise specified, after the date of such notice, unless the Contractor, within such ten (10) day period, cures such default, or provides evidence sufficient to prove to the City's reasonable satisfaction that such default does not, in fact, exist. The City may place Contractor on probation for a specified period of time within which the Contractor must correct any non-compliance issues. Probation shall not normally be for a period of more than nine (9) months, however, it may be for a longer period, not to exceed one (1) year depending on the circumstances. If the City determines the Contractor has failed to perform satisfactorily during the probation period, the City may proceed with suspension. In the event of a default by the Contractor, the City may suspend or debar the Contractor in accordance with the "City of Austin Purchasing Office Probation, Suspension and Debarment Rules for Vendors" and remove the Contractor from the City's vendor list for up to five (5) years and any Offer submitted by the Contractor may be disqualified for up to five (5) years. In addition to any other remedy available under law or in equity, the City shall be entitled to recover all actual damages, costs, losses and expenses, incurred by the City as a result of the Contractor's default, including, without limitation, cost of cover, reasonable attorneys' fees, court costs, and prejudgment and post-judgment interest at the maximum lawful rate. All rights and remedies under the Contract are cumulative and are not exclusive of any other right or remedy provided by law.
- 5.4 **Termination Without Cause.** The City shall have the right to terminate the Contract, in whole or in part, without cause any time upon thirty (30) calendar days prior written notice. Upon receipt of a notice of termination, the Contractor shall promptly cease all further work pursuant to the Contract, with such exceptions, if any, specified in the notice of termination. The City shall pay the Contractor, to the extent of funds appropriated or otherwise legally available for such purposes, for all goods delivered and services performed and obligations incurred prior to the date of termination in accordance with the terms hereof.
- 5.5 **Fraud.** Fraudulent statements by the Contractor on any Offer or in any report or deliverable required to be submitted by the Contractor to the City shall be grounds for the termination of the Contract for cause by the City and may result in legal action.

SECTION 6. OTHER DELIVERABLES

- 6.1 **Insurance.** The following insurance requirements apply.

6.1.1 **General Requirements**

6.1.1.1 The Contractor shall at a minimum carry insurance in the types and amounts indicated herein for the duration of the Contract and during any warranty period.

6.1.1.2 The Contractor shall provide a Certificate of Insurance as verification of coverages required below to the City at the below address prior to contract execution and within fourteen (14) calendar days after written request from the City.

6.1.1.3 The Contractor must also forward a Certificate of Insurance to the City whenever a previously identified policy period has expired, or an extension option or holdover period is exercised, as verification of continuing coverage.

6.1.1.4 The Contractor shall not commence work until the required insurance is obtained and has been reviewed by the City. Approval of insurance by the City shall not relieve or decrease the liability of the Contractor hereunder and shall not be construed to be a limitation of liability on the part of the Contractor.

6.1.1.5 The Contractor must maintain and make available to the City, upon request, certificates of insurance for all Subcontractors.

6.1.1.6 The Contractor's and all subcontractors' insurance coverage shall be written by companies licensed to do business in the State of Texas at the time the policies are issued and shall be written by companies with A.M. Best ratings of B+VII or better. The City will

accept workers' compensation coverage written by the Texas Workers' Compensation Insurance Fund.

6.1.1.7 All endorsements naming the City as additional insured, waivers, and notices of cancellation endorsements as well as the Certificate of Insurance shall contain the Contractor's email address, and shall be mailed to the following address:

City of Austin
Health and Human Services Department
ATTN: Community Based Resources
P. O. Box 1088
Austin, Texas 78767

6.1.1.8 The "other" insurance clause shall not apply to the City where the City is an additional insured shown on any policy. It is intended that policies required in the Contract, covering both the City and the Contractor, shall be considered primary coverage as applicable.

6.1.1.9 If insurance policies are not written for amounts specified, the Contractor shall carry Umbrella or Excess Liability Insurance for any differences in amounts specified. If Excess Liability Insurance is provided, it shall follow the form of the primary coverage.

6.1.1.10 The City shall be entitled, upon request, at an agreed upon location, and without expense, to review certified copies of policies and endorsements thereto and may make any reasonable requests for deletion or revision or modification of particular policy terms, conditions, limitations, or exclusions except where policy provisions are established by law or regulations binding upon either of the parties hereto or the underwriter on any such policies.

6.1.1.11 The City reserves the right to review the insurance requirements set forth during the effective period of the Contract and to make reasonable adjustments to insurance coverage, limits, and exclusions when deemed necessary and prudent by the City based upon changes in statutory law, court decisions, the claims history of the industry or financial condition of the insurance company as well as the Contractor.

6.1.1.12 The Contractor shall not cause any insurance to be canceled nor permit any insurance to lapse during the term of the Contract or as required in the Contract.

6.1.1.13 The Contractor shall be responsible for premiums, deductibles and self-insured retentions, if any, stated in policies. All deductibles or self-insured retentions shall be disclosed on the Certificate of Insurance.

6.1.1.14 The Contractor shall endeavor to provide the City thirty (30) calendar days written notice of erosion of the aggregate limits below occurrence limits for all applicable coverages indicated within the Contract.

6.1.2 **Specific Coverage Requirements.** The Contractor shall at a minimum carry insurance in the types and amounts indicated below for the duration of the Contract, including extension options and hold over periods, and during any warranty period. These insurance coverages are required minimums and are not intended to limit the responsibility or liability of the Contractor.

6.1.2.1 **Commercial General Liability Insurance.** The minimum bodily injury and property damage per occurrence are \$500,000* for coverages A (Bodily Injury and Property Damage) and B (Personal and Advertising Injuries). The policy shall contain the following provisions and endorsements.

6.1.2.1.1 Blanket contractual liability coverage for liability assumed under the Contract and all other Contracts related to the project

6.1.2.1.2 Independent Contractor's Coverage

- 6.1.2.1.3 Products/Completed Operations Liability for the duration of the warranty period
- 6.1.2.1.4 Waiver of Subrogation, Endorsement CG 2404, or equivalent coverage
- 6.1.2.1.5 Thirty (30) calendar days Notice of Cancellation, Endorsement CG 0205, or equivalent coverage
- 6.1.2.1.6 The City of Austin listed as an additional insured, Endorsement CG 2010, or equivalent coverage
- 6.1.2.1.7 If care of a child is provided outside the presence of a legal guardian or parent, Contractor shall provide coverage for sexual abuse and molestation for a minimum limit of \$500,000 per occurrence.
- 6.1.2.1.8 The policy shall be endorsed to cover injury to a child while the child is in the care of the Contractor or Subcontractor.

* Supplemental Insurance Requirement. If eldercare, childcare, or housing for clients is provided, the required limits shall be \$1,000,000 per occurrence.

6.1.2.2 **Business Automobile Liability Insurance.**

Minimum limits: \$500,000 combined single limit per occurrence for all owned, hired and non-owned autos

- a. If any form of transportation for clients is provided, coverage for all owned, non-owned, and hired vehicles shall be maintained with a combined single limit of \$1,000,000 per occurrence.
- b. If no client transportation is provided but autos are used within the scope of work, and there are no agency owned vehicles, evidence of Personal Auto Policy coverage from each person using their auto may be provided. The following limits apply for personal auto insurance: \$100,000/\$300,000/\$100,000.

All policies shall contain the following endorsements:

- 6.1.2.2.1. Waiver of Subrogation, Endorsement TE 2046A, or equivalent coverage
- 6.1.2.2.2. Thirty (30) calendar days Notice of Cancellation, Endorsement TE 0202A, or equivalent coverage
- 6.1.2.2.3 The City of Austin listed as an additional insured, Endorsement TE 9901B, or equivalent coverage

6.1.2.3 **Worker's Compensation and Employers' Liability Insurance.** Coverage shall be consistent with statutory benefits outlined in the Texas Worker's Compensation Act (Section 401). The minimum policy limits for Employer's Liability are \$100,000 bodily injury each accident, \$500,000 bodily injury by disease policy limit and \$100,000 bodily injury by disease each employee. The policy shall contain the following provisions and endorsements:

- 6.1.2.3.1 The Contractor's policy shall apply to the State of Texas
- 6.1.2.3.2 Waiver of Subrogation, Form WC 420304, or equivalent coverage
- 6.1.2.3.3 Thirty (30) calendar days Notice of Cancellation, Form WC 420601, or equivalent coverage

6.1.2.4 **Professional Liability Insurance.**

6.1.2.4.1 Contractor shall provide coverage at a minimum limit of \$500,000 per claim to pay on behalf of the assured all sums which the assured shall become legally obligated to pay as damages by reason of any negligent act, error, or omission arising out of the performance of professional services under this Contract.

6.1.2.4.2 If coverage is written on a claims-made basis, the retroactive date shall be prior to or coincident with the date of the Contract and the certificate of insurance shall state that the coverage is claims-made and indicate the retroactive date. This coverage shall be continuous and will be provided for twenty-four (24) months following the completion of the Contract.

6.1.2.5 **Blanket Crime Policy Insurance.** A Blanket Crime Policy shall be required with limits equal to or greater than the sum of all Contract funds allocated by the City. Acceptance of alternative limits shall be approved by Risk Management.

6.1.2.6 **Directors and Officers Insurance.** Directors and Officers Insurance with a minimum of not less than \$1,000,000 per claim shall be in place for protection from claims arising out of negligent acts, errors or omissions for directors and officers while acting in their capacities as such. If coverage is underwritten on a claims-made basis, the retroactive date shall be coincident with or prior to the date of the Contract and the certificate of insurance shall state that the coverage is claims made and the retroactive date. The coverage shall be continuous for the duration of the Contract and for not less than twenty-four (24) months following the end of the Contract. Coverage, including renewals, shall have the same retroactive date as the original policy applicable to the Contract or evidence of prior acts or an extended reporting period acceptable to the City may be provided. The Contractor shall, on at least an annual basis, provide the City with a certificate of insurance as evidence of such insurance.

6.1.2.7 **Property Insurance.** If the Contract provides funding for the purchase of property or equipment the Contractor shall provide evidence of all risk property insurance for a value equivalent to the replacement cost of the property or equipment.

6.1.2.8 **Endorsements.** The specific insurance coverage endorsements specified above, or their equivalents must be provided. In the event that endorsements, which are the equivalent of the required coverage, are proposed to be substituted for the required coverage, copies of the equivalent endorsements must be provided for the City's review and approval.

6.1.2.9 **Certificate.** The following statement must be shown on the Certificate of Insurance.

"The City of Austin is an Additional Insured on the general liability and the auto liability policies. A Waiver of Subrogation is issued in favor of the City of Austin for general liability, auto liability and workers compensation policies."

6.2 **Equal Opportunity.**

6.2.1.1 **Equal Employment Opportunity.** No Contractor or Contractor's agent shall engage in any discriminatory employment practice as defined in Chapter 5-4 of the City Code. No Bid submitted to the City shall be considered, nor any Purchase Order issued, or any Contract awarded by the City unless the Contractor has executed and filed with the City Purchasing Office a current Non-Discrimination Certification. The Contractor shall sign and return the Non-Discrimination Certification attached hereto as Exhibit C. Non-compliance with Chapter 5-4 of the City Code may result in sanctions, including termination of the Contract and the Contractor's suspension or debarment from participation on future City contracts until deemed compliant with Chapter 5-4. Any Subcontractors used in the performance of this contract and paid with City funds must comply with the same nondiscrimination requirements as the Contractor.

6.2.2 **Americans With Disabilities Act (ADA) Compliance.** No Contractor, or Contractor's agent shall engage in any discriminatory employment practice against individuals with disabilities as defined in the ADA.

- 6.3 **Inspection of Premises.** The City has the right to enter Contractor's and Subcontractor's work facilities and premises during Contractor's regular work hours, and Contractor agrees to facilitate a review of the facilities upon reasonable request by the City.
- 6.4 **Rights to Proposal and Contractual Material.** All material submitted by the Contractor to the City shall become property of the City upon receipt. Any portions of such material claimed by the Contractor to be proprietary must be clearly marked as such. Determination of the public nature of the material is subject to the Texas Public Information Act, Chapter 552, Texas Government Code.
- 6.5 **Publications.** All published material and written reports submitted under the Contract must be originally developed material unless otherwise specifically provided in the Contract. When material not originally developed is included in a report in any form, the source shall be identified.

SECTION 7. WARRANTIES

- 7.1 **Authority.** Each party warrants and represents to the other that the person signing this Contract on its behalf is authorized to do so, that it has taken all action necessary to approve this Contract, and that this Contract is a lawful and binding obligation of the party.
- 7.2 **Performance Standards.** Contractor warrants and represents that all services provided under this Contract shall be fully and timely performed in a good and workmanlike manner in accordance with generally accepted community standards and, if applicable, professional standards and practices. Contractor may not limit, exclude, or disclaim this warranty or any warranty implied by law, and any attempt to do so shall be without force or effect. If the Contractor is unable or unwilling to perform its services in accordance with the above standard as required by the City, then in addition to any other available remedy, the City may reduce the amount of services it may be required to purchase under the Contract from the Contractor, and purchase conforming services from other sources. In such event, the Contractor shall pay to the City upon demand the increased cost, if any, incurred by the City to procure such services from another source. Contractor agrees to participate with City staff to update the performance measures.

SECTION 8. MISCELLANEOUS

- 8.1 **Criminal Background Checks.** Contractor and Subcontractor(s) agree to perform a criminal background check on individuals providing direct client service in programs designed for children under eighteen (18) years of age, seniors 55 years of age and older, or persons with Intellectual and Developmental Disabilities (IDD). Contractor shall not assign or allow an individual to provide direct client service in programs designed for children under eighteen (18) years of age, seniors 55 years of age and older, or persons with IDD if the individual would be barred from contact under the applicable program rules established by Title 40 of the Texas Administrative Code.
- 8.2 **Compliance with Health, Safety, and Environmental Regulations.** The Contractor, its Subcontractors, and their respective employees, shall comply fully with all applicable federal, state, and local health, safety, and environmental laws, ordinances, rules and regulations in the performance of the services, including but not limited to those promulgated by the City and by the Occupational Safety and Health Administration (OSHA). In case of conflict, the most stringent safety requirement shall govern. The Contractor shall indemnify and hold the City harmless from and against all claims, demands, suits, actions, judgments, fines, penalties and liability of every kind arising from the breach of the Contractor's obligations under this paragraph.
- 8.2.1 The Contractor or Subcontractor(s) seeking an exemption for a food enterprise permit fee must present this signed and executed social services contract upon request to the City. (*Source: City of Austin Ordinance 20051201-013*)

- 8.3 **Stop Work Notice.** The City may issue an immediate Stop Work Notice in the event the Contractor is observed performing in a manner that the City reasonably believes is in violation of Federal, State, or local guidelines, or in a manner that is determined by the City to be unsafe to either life or property. Upon notification, the Contractor will cease all work until notified by the City that the violation or unsafe condition has been corrected. The Contractor shall be liable for all costs incurred by the City as a result of the issuance of such Stop Work Notice.

8.4 **Indemnity.**

8.4.1 Definitions:

8.4.1.1 "Indemnified Claims" shall include any and all claims, demands, suits, causes of action, judgments and liability of every character, type or description, including all reasonable costs and expenses of litigation, mediation or other alternate dispute resolution mechanism, including attorney and other professional fees for:

8.4.1.1.1 damage to or loss of the property of any person (including, but not limited to the City, the Contractor, their respective agents, officers, employees and subcontractors; the officers, agents, and employees of such subcontractors; and third parties); and/or;

8.4.1.1.2 death, bodily injury, illness, disease, worker's compensation, loss of services, or loss of income or wages to any person (including but not limited to the agents, officers and employees of the City, the Contractor, the Contractor's subcontractors, and third parties),

8.4.1.2 "Fault" shall include the sale of defective or non-conforming deliverables, negligence, willful misconduct, or a breach of any legally imposed strict liability standard.

8.4.2 THE CONTRACTOR SHALL DEFEND (AT THE OPTION OF THE CITY), INDEMNIFY, AND HOLD THE CITY, ITS SUCCESSORS, ASSIGNS, OFFICERS, EMPLOYEES AND ELECTED OFFICIALS HARMLESS FROM AND AGAINST ALL INDEMNIFIED CLAIMS DIRECTLY ARISING OUT OF, INCIDENT TO, CONCERNING OR RESULTING FROM THE FAULT OF THE CONTRACTOR, OR THE CONTRACTOR'S AGENTS, EMPLOYEES OR SUBCONTRACTORS, IN THE PERFORMANCE OF THE CONTRACTOR'S OBLIGATIONS UNDER THE CONTRACT. NOTHING HEREIN SHALL BE DEEMED TO LIMIT THE RIGHTS OF THE CITY OR THE CONTRACTOR (INCLUDING, BUT NOT LIMITED TO, THE RIGHT TO SEEK CONTRIBUTION) AGAINST ANY THIRD PARTY WHO MAY BE LIABLE FOR AN INDEMNIFIED CLAIM.

- 8.5 **Claims.** If any claim, demand, suit, or other action is asserted against the Contractor which arises under or concerns the Contract, or which could have a material adverse affect on the Contractor's ability to perform hereunder, the Contractor shall give written notice thereof to the City within ten (10) calendar days after receipt of notice by the Contractor. Such notice to the City shall state the date of notification of any such claim, demand, suit, or other action; the names and addresses of the claimant(s); the basis thereof; and the name of each person against whom such claim is being asserted. Such notice shall be delivered personally or by mail and shall be sent to the City and to the Austin City Attorney. Personal delivery to the City Attorney shall be to City Hall, 301 West 2nd Street, 4th Floor, Austin, Texas 78701, and mail delivery shall be to P.O. Box 1088, Austin, Texas 78767.

- 8.6 **Business Continuity.** Contractor warrants that it has adopted a business continuity plan that describes how Contractor will continue to provide services in the event of an emergency or other unforeseen event, and agrees to maintain the plan on file for review by the City. Contractor shall provide a copy of the plan to the City's Contract Manager upon request at any time during the term of this Contract, and the requested information regarding the Business Continuity Plan shall appear in the annual Administrative and Fiscal Review document. Contractor also agrees to participate in the City's Emergency Preparedness and Response Plan and other disaster planning processes.

- 8.7 **Notices.** Unless otherwise specified, all notices, requests, or other communications required or appropriate to be given under the Contract shall be in writing and shall be deemed delivered three (3) business days after postmarked if sent by U.S. Postal Service Certified or Registered Mail, Return

Receipt Requested. Notices delivered by other means shall be deemed delivered upon receipt by the addressee. Routine communications may be made by first class mail, email, or other commercially accepted means. Notices to the City and the Contractor shall be addressed as follows:

To the City:	To the Contractor:	With copy to:
City of Austin, Health and Human Services Department Community Services Division	Caritas of Austin	City of Austin Health and Human Services Dept.
ATTN: Stephanie Hayden, Assistant Director	ATTN: Jo Kathryn Quinn, Executive Director	ATTN: Shannon Jones, Director
7201 Levander Loop, Bldg. H	611 Neches	7201 Levander Loop, Bldg. E
Austin, TX 78702	Austin, TX 78701	Austin, TX 78702

- 8.8 **Confidentiality.** In order to provide the deliverables to the City, Contractor may require access to certain of the City's and/or its licensors' confidential information (including inventions, employee information, trade secrets, confidential know-how, confidential business information, and other information which the City or its licensors consider confidential) (collectively, "Confidential Information"). Contractor acknowledges and agrees that the Confidential Information is the valuable property of the City and/or its licensors and any unauthorized use, disclosure, dissemination, or other release of the Confidential Information will substantially injure the City and/or its licensors. The Contractor (including its employees, subcontractors, agents, or representatives) agrees that it will maintain the Confidential Information in strict confidence and shall not disclose, disseminate, copy, divulge, recreate, or otherwise use the Confidential Information without the prior written consent of the City or in a manner not expressly permitted under this Contract, unless the Confidential Information is required to be disclosed by law or an order of any court or other governmental authority with proper jurisdiction, provided the Contractor promptly notifies the City before disclosing such information so as to permit the City reasonable time to seek an appropriate protective order. The Contractor agrees to use protective measures no less stringent than the Contractor uses within its own business to protect its own most valuable information, which protective measures shall under all circumstances be at least reasonable measures to ensure the continued confidentiality of the Confidential Information.
- 8.9 **Advertising.** Where such action is appropriate as determined by the City, Contractor shall publicize the activities conducted by the Contractor under this Agreement. Any news release, sign, brochure, or other advertising medium including websites disseminating information prepared or distributed by or for the Contractor shall recognize the City as a funding source and include a statement that indicates that the information presented does not officially represent the opinion or policy position of the City.
- 8.10 **No Contingent Fees.** The Contractor warrants that no person or selling agency has been employed or retained to solicit or secure the Contract upon any agreement or understanding for commission, percentage, brokerage, or contingent fee, excepting bona fide employees of bona fide established commercial or selling agencies maintained by the Contractor for the purpose of securing business. For breach or violation of this warranty, the City shall have the right, in addition to any other remedy available, to cancel the Contract without liability and to deduct from any amounts owed to the Contractor, or otherwise recover, the full amount of such commission, percentage, brokerage or contingent fee.
- 8.11 **Gratuities.** The City may, by written notice to the Contractor, cancel the Contract without liability if it is determined by the City that gratuities were offered or given by the Contractor or any agent or representative of the Contractor to any officer or employee of the City with a view toward securing the Contract or securing favorable treatment with respect to the awarding or amending or the making of any determinations with respect to the performing of such contract. In the event the Contract is canceled by the City pursuant to this provision, the City shall be entitled, in addition to any other rights and remedies, to recover or withhold the amount of the cost incurred by the Contractor in providing such gratuities.

- 8.12 **Prohibition Against Personal Interest in Contracts.** No officer, employee, independent consultant, or elected official of the City who is involved in the development, evaluation, or decision-making process of the performance of any solicitation shall have a financial interest, direct or indirect, in the Contract resulting from that solicitation. Any willful violation of this section shall constitute impropriety in office, and any officer or employee guilty thereof shall be subject to disciplinary action up to and including dismissal. Any violation of this provision, with the knowledge, expressed or implied, of the Contractor shall render the Contract voidable by the City.
- 8.13 **Independent Contractor.** The Contract shall not be construed as creating an employer/employee relationship, a partnership, or a joint venture. The Contractor's services shall be those of an independent contractor. The Contractor agrees and understands that the Contract does not grant any rights or privileges established for employees of the City.
- 8.14 **Assignment-Delegation.** The Contract shall be binding upon and enure to the benefit of the City and the Contractor and their respective successors and assigns, provided however, that no right or interest in the Contract shall be assigned and no obligation shall be delegated by the Contractor without the prior written consent of the City. Any attempted assignment or delegation by the Contractor shall be void unless made in conformity with this paragraph. The Contract is not intended to confer rights or benefits on any person, firm or entity not a party hereto; it being the intention of the parties that there be no third party beneficiaries to the Contract.
- 8.15 **Waiver.** No claim or right arising out of a breach of the Contract can be discharged in whole or in part by a waiver or renunciation of the claim or right unless the waiver or renunciation is supported by consideration and is in writing signed by the aggrieved party. No waiver by either the Contractor or the City of any one or more events of default by the other party shall operate as, or be construed to be, a permanent waiver of any rights or obligations under the Contract, or an express or implied acceptance of any other existing or future default or defaults, whether of a similar or different character.
- 8.16 **Modifications.** The Contract can be modified or amended only by a written, signed agreement by both parties. No pre-printed or similar terms on any Contractor invoice, order, or other document shall have any force or effect to change the terms, covenants, and conditions of the Contract.
- 8.17 **Interpretation.** The Contract is intended by the parties as a final, complete and exclusive statement of the terms of their agreement. No course of prior dealing between the parties or course of performance or usage of the trade shall be relevant to supplement or explain any term used in the Contract. Although the Contract may have been substantially drafted by one party, it is the intent of the parties that all provisions be construed in a manner to be fair to both parties, reading no provisions more strictly against one party or the other. Whenever a term defined by the Uniform Commercial Code, as enacted by the State of Texas, is used in the Contract, the UCC definition shall control, unless otherwise defined in the Contract.
- 8.18 **Dispute Resolution.**
- 8.18.1 If a dispute arises out of or relates to the Contract, or the breach thereof, the parties agree to negotiate prior to prosecuting a suit for damages. However, this section does not prohibit the filing of a lawsuit to toll the running of a statute of limitations or to seek injunctive relief. Either party may make a written request for a meeting between representatives of each party within fourteen (14) calendar days after receipt of the request or such later period as agreed by the parties. Each party shall include, at a minimum, one (1) senior level individual with decision-making authority regarding the dispute. The purpose of this and any subsequent meeting is to attempt in good faith to negotiate a resolution of the dispute. If, within thirty (30) calendar days after such meeting, the parties have not succeeded in negotiating a resolution of the dispute, they will proceed directly to mediation as described below. Negotiation may be waived by a written agreement signed by both parties, in which event the parties may proceed directly to mediation as described below.
- 8.18.2 If the efforts to resolve the dispute through negotiation fail, or the parties waive the negotiation process, the parties may select, within thirty (30) calendar days, a mediator trained in mediation skills to assist with resolution of the dispute. Should they choose this option, the City and the Contractor agree to act in good faith in the selection of the mediator and to give consideration to qualified

individuals nominated to act as mediator. Nothing in the Contract prevents the parties from relying on the skills of a person who is trained in the subject matter of the dispute or a contract interpretation expert. If the parties fail to agree on a mediator within thirty (30) calendar days of initiation of the mediation process, the mediator shall be selected by the Travis County Dispute Resolution Center (DRC). The parties agree to participate in mediation in good faith for up to thirty (30) calendar days from the date of the first mediation session. The City and the Contractor will share the mediator's fees equally and the parties will bear their own costs of participation such as fees for any consultants or attorneys they may utilize to represent them or otherwise assist them in the mediation.

8.19 Minority And Women Owned Business Enterprise (MBE/WBE) Procurement Program

MBE/WBE goals do not apply to this Contract.

8.20 Living Wage Policy

[Reserved]

8.21 Subcontractors.

8.21.1 Work performed for the Contractor by a Subcontractor shall be pursuant to a written contract between the Contractor and Subcontractor. The terms of the subcontract may not conflict with the terms of the Contract, and shall contain provisions that:

8.21.1.1 require that all deliverables to be provided by the Subcontractor be provided in strict accordance with the provisions, specifications and terms of the Contract. The City may require specific documentation to confirm Subcontractor compliance with all aspects of this Contract.

8.21.1.2 prohibit the Subcontractor from further subcontracting any portion of the Contract without the prior written consent of the City and the Contractor. The City may require, as a condition to such further subcontracting, that the Subcontractor post a payment bond in form, substance and amount acceptable to the City;

8.21.1.3 require Subcontractors to submit all requests for payment and applications for payments, including any claims for additional payments, damages or otherwise, to the Contractor in sufficient time to enable the Contractor to include the same with its invoice or application for payment to the City in accordance with the terms of the Contract;

8.21.1.4 require that all Subcontractors obtain and maintain, throughout the term of their contract, insurance in the type and amounts specified for the Contractor, with the City being a named insured as its interest shall appear; and

8.21.1.5 require that the Subcontractor indemnify and hold the City harmless to the same extent as the Contractor is required to indemnify the City.

8.21.2 The Contractor shall be fully responsible to the City for all acts and omissions of the Subcontractors just as the Contractor is responsible for the Contractor's own acts and omissions. Nothing in the Contract shall create for the benefit of any such Subcontractor any contractual relationship between the City and any such Subcontractor, nor shall it create any obligation on the part of the City to pay or to see to the payment of any moneys due any such Subcontractor except as may otherwise be required by law.

8.21.3 The Contractor shall pay each Subcontractor its appropriate share of payments made to the Contractor not later than ten days after receipt of payment from the City.

8.22 Jurisdiction And Venue. The Contract is made under and shall be governed by the laws of the State of Texas, including, when applicable, the Uniform Commercial Code as adopted in Texas, V.T.C.A., Bus. & Comm. Code, Chapter 1, excluding any rule or principle that would refer to and apply the substantive law of another state or jurisdiction. All issues arising from this Contract shall be resolved

in the courts of Travis County, Texas and the parties agree to submit to the exclusive personal jurisdiction of such courts. The foregoing, however, shall not be construed or interpreted to limit or restrict the right or ability of the City to seek and secure injunctive relief from any competent authority as contemplated herein.

- 8.23 **Invalidity.** The invalidity, illegality, or unenforceability of any provision of the Contract shall in no way affect the validity or enforceability of any other portion or provision of the Contract. Any void provision shall be deemed severed from the Contract and the balance of the Contract shall be construed and enforced as if the Contract did not contain the particular portion or provision held to be void. The parties further agree to reform the Contract to replace any stricken provision with a valid provision that comes as close as possible to the intent of the stricken provision. The provisions of this section shall not prevent this entire Contract from being void should a provision which is the essence of the Contract be determined to be void.

- 8.24 **Holidays.** The following holidays are observed by the City:

<u>HOLIDAY</u>	<u>DATE OBSERVED</u>
New Year's Day	January 1
Martin Luther King, Jr's Birthday	Third Monday in January
President's Day	Third Monday in February
Memorial Day	Last Monday in May
Independence Day	July 4
Labor Day	First Monday in September
Veteran's Day	November 11
Thanksgiving Day	Fourth Thursday in November
Friday after Thanksgiving	Friday after Thanksgiving
Christmas Eve	December 24
Christmas Day	December 25

If a Legal Holiday falls on Saturday, it will be observed on the preceding Friday. If a Legal Holiday falls on Sunday, it will be observed on the following Monday.

- 8.25 **Survivability of Obligations.** All provisions of the Contract that impose continuing obligations on the parties, including but not limited to the warranty, indemnity, and confidentiality obligations of the parties, shall survive the expiration or termination of the Contract.
- 8.26 **Non-Suspension or Debarment Certification.** The City is prohibited from contracting with or making prime or sub-awards to parties that are suspended or debarred or whose principals are suspended or debarred from Federal, State, or City of Austin Contracts. By accepting a contract with the City, the Contractor certifies that its firm and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusions records at SAM.gov, the State of Texas, or the City of Austin.

In witness whereof, the parties have caused duly authorized representatives to execute this Contract on the dates set forth below.

CARITAS OF AUSTIN

Signature: [Signature]

Name: Jo Kathryn Quinn
Printed Name

Title: Executive Director

Date: 6.4.15

CITY OF AUSTIN

Signature: [Signature]

Name: JAMES SCARBOROUGH
PURCHASING OFFICE

Date: 7/24/15

EXHIBITS

Exhibit A – Program Forms

- A.1** Program Work Statement
- A.2** Program Performance Measures
- A.3** Client Eligibility Requirements

Exhibit B – Program Budget Forms

- B.1** Program Budget and Narrative
- B.2** Program Subcontractors

Exhibit C – Equal Employment/Fair Housing Office/Non-Discrimination Certification

Exhibit D- Homeless Management Information System (HMIS) Reporting Requirements

Program Work Statement

Contract Start Date

9/1/2015

Contract End Date

9/30/2018

Program Goals And Objectives

BHS will provide professional mental/behavioral health counseling, substance abuse counseling, psychiatric nursing services, and peer mentoring to Caritas of Austin clients. BHS will supplement intensive case management services provided by other programs. It will help clients achieve program goals and housing stability by providing specialized support for relapse prevention, and complex behavioral health needs.

Program Clients Served

The BHS target population includes individuals who are experiencing one or more of the following:

- A mental health and/or behavioral health diagnosis and do not have immediate access to public mental/behavioral health services
- Prior involvement in the criminal justice system
- Difficulty maintaining or obtaining housing and lack of access to mental/behavioral health services is a contributing factor.

Individuals must be enrolled in one of the following Caritas programs in order to be eligible for services:

- o Permanent Supportive Housing
- o Housing Stability
- o Supportive Services for Veteran Families
- o Refugee Resettlement
- o Employment

Program Services And Delivery

Specific project components include:

1) Psychiatric Nursing Support and Medication Maintenance

BHS will fund a contract psychiatric registered nurse to provide the following services to eligible clients:

- Serve as part of the clinical team
- Evaluate psychiatric medication compliance
- Evaluate overall client mental and physical health, i.e. taking vital signs, monitoring for medication side-effects, etc.
- Assess mental health needs
- Assess client's progress in meeting care plan goals
- Communicate regularly with the client's psychiatrist or primary care physician (as appropriate)
- Administer assessments and evaluate assessment results
- Draft case notes for the client file
- Communicate regularly with the client's Caritas case manager

2) Individual Substance Abuse/Mental Health Counseling

BHS will fund contract professional mental health counselor(s) and/or professional Licensed Chemical Dependency Counselor(s) to provide mental health counseling, substance abuse counseling, or both to eligible clients. Clients will have hour-long counseling sessions for a period determined by the professional counselor.

3) Substance Abuse Treatment

BHS will provide both residential and out-patient substance abuse treatment. BHS will not fund medical treatment, such as detox medications, for clients receiving these services. Substance abuse treatment services include:

- Assessment of substance abuse, mental health, and related problems
- Treatment plan development
- Professional counseling (cognitive-behavioral therapy, motivational interviewing, contingency management, etc.)
- Education regarding addiction and what to expect from treatment/recovery
- Information/referral to assist with post-treatment sobriety

Caritas case managers will provide post-treatment case management, transportation, employment services, and/or housing stability services.

4) Peer Mentoring Program

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Program Work Statement

Contract Start Date

9/1/2015

Contract End Date

9/30/2018

Caritas will use BHS funds to provide incentives to two Caritas clients who have experienced success in mental health treatment, recovery, and housing stability, as they serve in a peer-to-peer mentoring capacity. Caritas will enter into an agreement with Austin Clubhouse to coordinate these services. These Peer Mentors are prepared to share their experience/knowledge with others at an earlier stage of mental health treatment or recovery from alcohol and/or drug dependency.

Peer mentoring will provide the following services to BHS clients:

- One-on-one coaching in which a peer mentor encourages, motivates, and supports a peer with mental health/substance abuse issues who is new to housing or at-risk of losing housing stability; Peer mentors may also assist clients with tasks such as setting housing goals and solving problems directly related to housing stability
- Connecting the client with services and resources available in the community
- Helping clients make new friends and begin building alternative social networks; Peer mentors may organize activities that range from opportunities to participate in team sports to family-centered holiday celebrations to payday get-togethers that are alcohol- and drug-free. These activities provide a sense of acceptance and belonging to a group, as well as the opportunity to practice new social skills.

5) Client Transportation

BHS funds may be used to provide bus passes and/or taxi vouchers so that clients can attend psychiatric appointments, counseling appointments, substance abuse treatment, and/or other mental health/substance abuse recovery appointments.

System for Collecting and Reporting Program Data

Caritas uses HMIS/ServicePoint for data collection in its social service programs and ensures that direct client services staff receives adequate training on the use of HMIS for data collection. Caritas' Program Managers use ServicePoint as a tool for staff supervision, for program evaluation purposes, and to provide necessary data to Caritas' Grants Manager for grant reporting purposes. Upon the receipt of a grant or contract, the agency has reports designed in ServicePoint that collect the required data for reporting to different funders. Appropriate program staff is trained on the use of respective reports.

Before client data is entered into HMIS, Caritas case managers secure permission to collect and share their data via a signed HMIS Release of Information. Clients have the ability to opt-out of sharing information via HMIS. If a client opts out, client data is entered into HMIS anonymously. We are able to report on performance measures for anonymous clients. However, we cannot provide Zip Code or demographic information for anonymous clients.

The ServicePoint database will be used to record all client data and service transactions for BHS. At program entry, the case manager will document all appropriate information, including the Self-Sufficiency Outcome Matrix (SSOM) baseline score. Information will also be recorded throughout the program and at program exit.

Performance Evaluation

Performance evaluation:

It is the primary responsibility of Supportive Housing program case managers to ensure that BHS performance targets are attained. Each Supportive Housing case manager has been trained on the requirements and expectations of the BHS program.

The Government Grants Manager and Permanent Supportive Housing Program Manager monitor HMIS data quality, program expenditures, and client performance at least monthly. This information gets reported to the Housing Services Director and Chief Financial Officer monthly. The Board of Directors reviews program and fiscal performance at each of their regular meetings.

Quality Improvement

Quality Improvement:

In the first quarter of each calendar year, Department Directors and Program Managers evaluate each program by reviewing budgets and finance reports as well as HMIS data reports used to assess program efficacy. Reports include client SSOM score changes, entry/exits into each program, increases in client income, and length of stay in programs. Gaps in services are also identified during this process. When the annual agency budget process begins in May of each year, Department Directors and Program Managers address program gaps, shift budget funding to address those gaps, and prepare any

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Last Modified, If Applicable 5/11/2015 8:39:00 AM

Program Work Statement

Contract Start Date 9/1/2015 *Contract End Date* 9/30/2018

needed programmatic or personnel changes to address gaps.

Service Coordination with Other Agencies

Service Cooperation with Other Agencies:

PSH Case Managers work closely with Foundation Communities Case Managers to ensure that all available supports are provided to clients. The PSH Program Manager will meet with Austin Clubhouse quarterly to ensure the Peer Mentor program component operates to best support clients receiving peer mentoring services.

Service Collaboration with Other Agencies

Service Collaboration with Other Agencies:

Case Managers who have clients enrolled in BHS meet regularly with the professional counselor and/or psychiatric nurse to coordinate care, plan services, and make adjustments to housing stability plans. The professional counselor and/or psychiatric nurse immediately notify case managers if any kind of immediate intervention is needed.

The psychiatric nurse and professional counselor submit invoices at least monthly. The Permanent Supportive Housing Program Manager reconciles these invoices with HMIS service transactions on a monthly basis.

Case Managers meet with Peer Mentors regularly to discuss their interaction with clients. Case Managers use these meetings to provide direction to the Peer Mentors and to get qualitative data regarding client housing stability needs.

Community Planning Activities

Caritas staff attends quarterly meetings with community refugee services providers such as Project Access, the Texas Office of Immigration and Refugee Affairs, and the City of Austin Refugee Clinic. The Integrated Services Program Director is a board member of Disability Rights Texas, the designated federal Protection and advocacy agency for people with disabilities in Texas.

Caritas is also significantly involved in the homeless/housing service work groups/committees that relate to the Austin/Travis County Continuum of Care. Caritas is a member of ECHO - a local collaboration of homeless service providers, interested organizations and individuals that provides leadership and engages policymakers/the community in ending homelessness.

Program Performance Measures

	<i>Period</i>			<i>Contract Term</i>
	<i>1</i>	<i>2</i>	<i>3</i>	
<i>Start Date</i>	10/1/2015	10/1/2016	10/1/2017	9/1/2015
<i>End Date</i>	9/30/2016	9/30/2017	9/30/2018	9/30/2018

<i>Outputs</i>		<i>Period</i>			<i>Contract Term **</i>
		<i>1</i>	<i>2*</i>	<i>3*</i>	
<i>ID</i>	<i>Output Measure Description</i>				
1	Total Number of Unduplicated Clients Served	80	80	80	100

<i>Outcomes</i>		<i>Period</i>			<i>Contract Term **</i>
		<i>1</i>	<i>2*</i>	<i>3*</i>	
<i>ID</i>	<i>Outcome Measure Description</i>				
	Number of individuals with improved mental health status as measured on a standardized assessment	60	60	60	75
3A	Number of individuals "initially" evaluated with a standardized assessment	80	80	80	100
	Percent of individuals whose mental health status as measured on a standardized assessment improves	75	75	75	75

* Goal Served May Include Carry-Over From Previous Period

** Goal Served Spans Contract Term / May Not Include Carry-Over / Clients Served Must Be < or = Sum of Periods)

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City of Austin Health and Human Services

Social Service Contracts

Client Eligibility Requirements

UNLESS OTHERWISE STATED IN THE CONTRACT WORK STATEMENT, THESE REQUIREMENTS APPLY TO ALL CLIENTS SERVED WITH CITY SOCIAL SERVICES FUNDING.

GENERAL

- Eligibility requirements for clients served under grant contracts will be determined by the grantor.
- Agency must maintain a record of client eligibility (e.g. client file or electronic record) that includes documentation of:
 - ♦ Annual certification of client eligibility
 - ♦ Services provided to client
- Agency must recertify client when notified of a change in family circumstances (e.g. family income, residence, and/or family composition)
- Unless specified by Grant/Funding Source, re-certification of clients is required not less than once every 12 months (unless required earlier by a change in family circumstances)
- Homeless clients:
 - ♦ If the program eligibility requires homeless status, the residency requirements and income requirements do not apply
 - ♦ Homeless status must be documented by a signed (1) Homeless Eligibility Form or Homeless Self-Declaration Form and (2) entry into Homeless Management Information System (HMIS) database. These forms must be developed by the agency and be approved by the City contract manager.
- Other Client populations:
 - ♦ Clients in programs serving victims of violence are not subject to residency or income requirements
 - ♦ Eligibility exceptions for any other type of clients and/or documentation situations must be described in Contract Work Statement
- Date of receipt by agency must be indicated on all documentation in client file

IDENTITY

- Client must provide proof of identity in order to receive City-funded services, documented by:
 - ♦ A government –issued identification; or
 - ♦ A signed Self-Declaration of Identity supported by client residency documentation

RESIDENCY

- City-funded clients must be a resident of the City of Austin (Full Purpose Jurisdiction) and/or Travis County
 - ♦ Residence must be documented by proof of address that includes client name (e.g. City utility bill, lease, letter from landlord, etc.)
 - ♦ Residency eligibility must be verified by one or more of the following sources:
 - Austin GIS Jurisdictions Web Map (<http://www.austintexas.gov/gis/JurisdictionsWebMap/>)
 - Travis County Appraisal District website (<http://www.traviscad.org>)

City of Austin Health and Human Services

Social Service Contracts

Client Eligibility Requirements

- U.S. Postal Service website (verification of County only) (www.usps.com)

INCOME

- Client intake form must reflect wages/income of all family members 18 years old or older living in the household
- Determination of Family Size:
 - For the purposes of determining eligibility for City-funded services, a family unit consists of:
 - A person living alone:
 - An adult living alone
 - A minor child living alone or with others who are not responsible for the child's support
 - Two or more persons living together who are wholly or partially responsible for the support of the other person/people:
 - Two persons in a domestic partnership, or legal or common-law marriage
 - One or both legal parents and minor children
 - One or both adult caretakers of minors and the caretaker(s)'s minor children. Note: a caretaker is one or both adults(s) who performs parental functions (provision of food, clothing, shelter, and supervision) for a minor.
- Family income must be 200% or less of current Federal Poverty Income Guidelines (FPIG) to be eligible for City-funded services; agency must update its FPIG categories when Federal figures change. Income inclusions and exclusions are based on Texas Administrative Code §5.19 and are as follows:

(1) Included Income:

- (A) Temporary Assistance for Needy Families (TANF);
- (B) Money, wages and salaries before any deductions;
- (C) Net receipts from non-farm or farm self-employment (receipts from a person's own business or from an owned or rented farm after deductions for business or farm expenses);
- (D) Regular payments from social security, including Social Security Disability Insurance (SSDI) and Supplemental Security Income (SSI);
- (E) Railroad retirement;
- (F) Unemployment compensation;
- (G) Strike benefits from union funds;
- (H) Worker's compensation;
- (I) Training stipends;
- (J) Alimony;
- (K) Military family allotments;
- (L) Private pensions;
- (M) Government employee pensions (including military retirement pay);
- (N) Regular insurance or annuity payments; and
- (O) Dividends, interest, net rental income, net royalties, periodic receipts from estates or trusts; and net gambling or lottery winnings.

(2) Excluded Income:

- (A) Capital gains; any assets drawn down as withdrawals from a bank;
- (B) The sale of property, a house, or a car;
- (C) One-time payments from a welfare agency to a family or person who is in temporary financial difficulty;

City of Austin Health and Human Services

Social Service Contracts

Client Eligibility Requirements

- (D) Tax refunds, gifts, loans, and lump-sum inheritances;
- (E) One-time insurance payments or compensation for injury;
- (F) Non-cash benefits, such as the employer-paid or union-paid portion of health insurance or other employee fringe benefits;
- (G) Food or housing received in lieu of wages;
- (H) The value of food and fuel produced and consumed on farms;
- (I) The imputed value of rent from owner-occupied non-farm or farm housing;
- (J) Federal non-cash benefit programs as Medicare, Medicaid, Food Stamps, and school lunches;
- (K) Housing assistance and combat zone pay to the military;
- (L) Veterans (VA) Disability Payments;
- (M) College scholarships, Pell and other grant sources, assistantships, fellowships and work study, VA Education Benefits (GI Bill); and
- (N) Child support payments.

- Client income amounts must reflect *Gross Income*, before any deductions
- If any adult family member has no income, a Self-Declaration of No Income form is required for that individual
- Income documentation requirement:
 - ❖ Programs providing financial assistance to or on behalf of clients (including but not limited to rent, utilities, arrears, child care, tuition, occupational training): the client file must include primary eligibility sources; declaration of eligibility for another program (e.g., TANF, Free/Reduced/School Lunch Program) is not adequate documentation of eligibility
 - ❖ Programs which do not provide financial assistance to or on behalf of clients: the client file must include primary eligibility sources or a self-declaration of income form

Any question about eligibility criteria not addressed here or for which the contractor needs clarification must be referred to the contractor's City contract manager. The City has final authority to declare an individual eligible or not eligible for City-funded services based on the criteria in this document.

Program Budget and Narrative

	<i>1</i>	<i>Period 2</i>	<i>3</i>	<i>Contract Start Contract End</i>	<i>9/1/2015 9/30/2018</i>
<i>Period Start Date</i>	9/1/2015	10/1/2016	10/1/2017		
<i>Period End Date</i>	9/30/2016	9/30/2017	9/30/2018	Total	
<i>Salary plus Benefits</i>	\$22,023.00	\$22,023.00	\$22,023.00	\$66,069.00	
<i>General Operations Expenses</i>	\$46,822.00	\$46,822.00	\$46,822.00	\$140,466.00	
<i>Program Subcontractors</i>	\$129,000.00	\$129,000.00	\$129,000.00	\$387,000.00	
<i>Staff Travel</i>	\$1,000.00	\$1,000.00	\$1,000.00	\$3,000.00	
<i>Conferences</i>	\$614.00	\$614.00	\$614.00	\$1,842.00	
<i>Operations SubTotal</i>	\$177,436.00	\$177,436.00	\$177,436.00	\$532,308.00	
<i>Food and Beverages for Clients</i>	\$0.00	\$0.00	\$0.00	\$0.00	
<i>Financial Direct Assistance to Clients</i>	\$15,000.00	\$15,000.00	\$15,000.00	\$45,000.00	
<i>Other Assistance Amount</i>	\$0.00	\$0.00	\$0.00	\$0.00	
<i>Direct Assistance SubTotal</i>	\$15,000.00	\$15,000.00	\$15,000.00	\$45,000.00	
<i>Capital Outlay Amount</i>	\$0.00	\$0.00	\$0.00	\$0.00	
Total	\$214,459.00	\$214,459.00	\$214,459.00	\$643,377.00	
<i>Total Period Percentage</i>	33.33	33.33	33.33		

Detailed Budget Narrative

Salaries plus Benefits	<i>Includes partial salary and fringe benefits for case managers, Program Manager, Director of Housing Services, and administrative staff</i>
General Op Expenses	<i>Includes occupancy, utilities, insurance, security, janitorial, pest control, audit, employee parking, maintenance/repairs, Internet, telephone, database, supplies, postage, payroll fees, reproduction, staff mileage reimbursement, translation/interpretation, in-county staff training, peer mentoring certification, peer mentoring services, and substance abuse treatment services.</i>
Program Subcontractors	<i>- Professional counseling services, - Psychiatric nursing for medication maintenance</i>
Staff Travel	<i>Includes funding to cover the cost of mileage reimbursement, per diem, air fare, car rental, etc. for staff to attend a conference for professional development directly related to the program.</i>
Conferences	<i>Includes registration fees for staff to attend a conference for professional development directly related to the program.</i>
Food and Beverage	
Financial Assistance	<i>Bus passes/ taxi vouchers for clients to attend mental/behavioral health related appointments</i>
Other Assistance	
Capital Outlay	

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Last Modified, If Applicable 5/11/2015 8:40:00 AM

Program Subcontractors

	<i>Period</i>			<i>Contract Term</i>
	<i>1</i>	<i>2</i>	<i>3</i>	
<i>Start Date</i>	9/1/2015	10/1/2016	10/1/2017	9/1/2015
<i>End Date</i>	9/30/2016	9/30/2017	9/30/2018	9/30/2018

Subcontractor's Information**Name**

Linda Valseca, LPC, LCDC

<i>Unduplicated Count</i>	70	70	70	100
<i>Amount</i>	\$92,000.00	\$92,000.00	\$92,000.00	\$276,000.00

Length of Term*Start Date* 9/1/2015*End Date* 9/30/2018**Services to be subcontracted**

Professional mental health and substance abuse counseling

Program Subcontractors

	<i>Period</i>			<i>Contract Term</i>
	<i>1</i>	<i>2</i>	<i>3</i>	
<i>Start Date</i>	9/1/2015	10/1/2016	10/1/2017	9/1/2015
<i>End Date</i>	9/30/2016	9/30/2017	9/30/2018	9/30/2018

Subcontractor's Information**Name**

Robin Clegg, RN

<i>Unduplicated Count</i>	50	50	50	60
<i>Amount</i>	\$37,000.00	\$37,000.00	\$37,000.00	\$37,000.00

Length of Term*Start Date* 9/1/2015*End Date* 9/30/2018**Services to be subcontracted**

Psychiatric medication management services

**City of Austin, Texas
EQUAL EMPLOYMENT/FAIR HOUSING OFFICE
NON-DISCRIMINATION CERTIFICATION**

**City of Austin, Texas
Human Rights Commission**

To: City of Austin, Texas, ("OWNER")

I hereby certify that our firm conforms to the Code of the City of Austin, Section 5-4-2 as reiterated below:
Chapter 5-4. Discrimination in Employment by City Contractors.

Sec. 4-2 Discriminatory Employment Practices Prohibited. As an Equal Employment Opportunity (EEO) employer, the Contractor will conduct its personnel activities in accordance with established federal, state and local EEO laws and regulations and agrees:

- (B) (1) Not to engage in any discriminatory employment practice defined in this chapter.
- (2) To take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without discrimination being practiced against them as defined in this chapter. Such affirmative action shall include, but not be limited to: all aspects of employment, including hiring, placement, upgrading, transfer, demotion, recruitment, recruitment advertising; selection for training and apprenticeship, rates of pay or other form of compensation, and layoff or termination.
- (3) To post in conspicuous places, available to employees and applicants for employment, notices to be provided by OWNER setting forth the provisions of this chapter.
- (4) To state in all solicitations or advertisements for employees placed by or on behalf of the Contractor, that all qualified applicants will receive consideration for employment without regard to race, creed, color, religion, national origin, sexual orientation, gender identity, disability, veteran status, sex or age.
- (5) To obtain a written statement from any labor union or labor organization furnishing labor or service to Contractors in which said union or organization has agreed not to engage in any discriminatory employment practices as defined in this chapter and to take affirmative action to implement policies and provisions of this chapter.
- (6) To cooperate fully with OWNER's Human Rights Commission in connection with any investigation or conciliation effort of said Human Rights Commission to ensure that the purpose of the provisions against discriminatory employment practices are being carried out.
- (7) To require compliance with provisions of this chapter by all subcontractors having fifteen or more employees who hold any subcontract providing for the expenditure of \$2,000 or more in connection with any contract with OWNER subject to the terms of this chapter.

For the purposes of this Offer and any resulting Contract, Contractor adopts the provisions of the City's Minimum Standard Nondiscrimination Policy set forth below.

**City of Austin
Minimum Standard Non-Discrimination in Employment Policy:**

As an Equal Employment Opportunity (EEO) employer, the Contractor will conduct its personnel activities in accordance with established federal, state and local EEO laws and regulations.

The Contractor will not discriminate against any applicant or employee based on race, creed, color, national origin, sex, age, religion, veteran status, gender identity, disability, or sexual orientation. This policy covers all aspects of employment, including hiring, placement, upgrading, transfer, demotion, recruitment, recruitment advertising, selection for training and apprenticeship, rates of pay or other forms of compensation, and layoff or termination.

Further, employees who experience discrimination, sexual harassment, or another form of harassment should immediately report it to their supervisor. If this is not a suitable avenue for

addressing their complaint, employees are advised to contact another member of management or their human resources representative. No employee shall be discriminated against, harassed, intimidated, nor suffer any reprisal as a result of reporting a violation of this policy. Furthermore, any employee, supervisor, or manager who becomes aware of any such discrimination or harassment should immediately report it to executive management or the human resources office to ensure that such conduct does not continue.

Contractor agrees that to the extent of any inconsistency, omission, or conflict with its current non-discrimination employment policy, the Contractor has expressly adopted the provisions of the City's Minimum Non-Discrimination Policy contained in Section 5-4-2 of the City Code and set forth above, as the Contractor's Non-Discrimination Policy or as an amendment to such Policy and such provisions are intended to not only supplement the Contractor's policy, but will also supersede the Contractor's policy to the extent of any conflict.

UPON CONTRACT AWARD, THE CONTRACTOR SHALL PROVIDE A COPY TO THE CITY OF THE CONTRACTOR'S NON-DISCRIMINATION POLICY ON COMPANY LETTERHEAD, WHICH CONFORMS IN FORM, SCOPE, AND CONTENT TO THE CITY'S MINIMUM NON-DISCRIMINATION POLICY, AS SET FORTH HEREIN, OR THIS NON-DISCRIMINATION POLICY, WHICH HAS BEEN ADOPTED BY THE CONTRACTOR FOR ALL PURPOSES (THE FORM OF WHICH HAS BEEN APPROVED BY THE CITY'S EQUAL EMPLOYMENT/FAIR HOUSING OFFICE), WILL BE CONSIDERED THE CONTRACTOR'S NON-DISCRIMINATION POLICY WITHOUT THE REQUIREMENT OF A SEPARATE SUBMITTAL.

Sanctions:

Our firm understands that non-compliance with Chapter 5-4 may result in sanctions, including termination of the contract and suspension or debarment from participation in future City contracts until deemed compliant with the requirements of Chapter 5-4.

Term:

The Contractor agrees that this Section 0800 Non-Discrimination Certificate or the Contractor's separate conforming policy, which the Contractor has executed and filed with the Owner, will remain in force and effect for one year from the date of filing. The Contractor further agrees that, in consideration of the receipt of continued Contract payments, the Contractor's Non-Discrimination Policy will automatically renew from year-to-year for the term of the underlying Contract.

Dated this 4th day of June, 2015

CONTRACTOR
Authorized
Signature

Title

Caritas of Austin
[Signature]
Executive Director

HOMELESS MANAGEMENT INFORMATION SYSTEM (HMIS) REPORTING REQUIREMENTS

Organizations receiving funding from the City of Austin for homelessness prevention and homeless intervention services are required to utilize the local Homeless Management Information System (HMIS) to track and report client information for individuals who are at risk of homelessness or who are homeless. A high level of data quality is required. The Ending Community Homelessness Coalition (ECHO) currently serves as the local HMIS administrator.

Requirements Include:

- All settings for client records will be in accordance with HMIS policy in order to reduce duplication of records and improve service coordination
- HMIS user licenses must be purchased for staff entering data into City-funded programs (may use City funds for licenses)
- Organizations must have an ECHO HMIS Memorandum of Understanding
- Data quality report(s) submitted monthly with a rating of "Excellent" or "Acceptable"
- Participation in Annual Point-in-Time Count, Annual Homeless Assessment Report (AHAR), and other required HUD reporting
- Participation in the required annual training for each licensed user as well as attendance at required City-sponsored training(s) regarding HMIS and CTK ODM System

Periodic reporting to the City will include levels of compliance with all requirements listed above as well as any feedback regarding the HMIS system.

If data quality reports fall below minimum standards, payments may be withheld until reports improve to "Excellent" or "Acceptable" ratings.

These requirements also pertain to all Subcontractors serving people who are homeless under this agreement.

Applications Funded in Response to RFP EAD0116
Self Sufficiency Social Services

Evaluation Score	Agency Name	Program Name	37-Month Funding	3, 12-Month Extension Options	Total Contract Amount
118	Youth & Family Alliance (Lifeworks)	Collective Impact Continuum	\$2,428,800	\$809,600	\$4,857,600
115	Meals on Wheels and More	Meals on Wheels	\$1,302,849	\$434,283	\$2,605,698
115	Any Baby Can	Ready Families Collaborative (C-11)	\$4,459,737	\$1,486,579	\$8,919,474
115	Austin Child Guidance Center	Underserved Families Mental Health Program	\$536,376	\$178,792	\$1,072,752
114	Casa Marianella	Emergency Shelter	\$544,320	\$181,440	\$1,088,640
113	Communities in Schools	Case Management & Pebble Project	\$1,427,469	\$475,823	\$2,854,938
113	Travis County Domestic ... (SafePlace)	Expect Respect	\$494,760	\$164,920	\$989,520
113	Theatre Action Project (Creative Action)	Del Valle Collaborative Afterschool Program (C-3)	\$845,934	\$281,978	\$1,691,868
113	Family Eldercare	Living Well Collaborative (C-6)	\$514,764	\$171,588	\$1,029,528
111	Travis County Domestic ... (SafePlace)	Victim Services	\$2,166,000	\$722,000	\$4,332,000
111	Family Eldercare	Counseling Services	\$164,955	\$54,985	\$329,910
111	Caritas of Austin	BSS+ (C-12)	\$9,992,721	\$3,330,907	\$19,985,442
110	Austin Recovery	Self Sufficiency Continuum Services	\$1,371,249	\$457,083	\$2,742,498
110	Caritas of Austin	Mental and Behavioral Health Services	\$643,377	\$214,459	\$1,286,754
110	The ARC of the Capital Area	Family & Juvenile Transition Services	\$183,726	\$61,242	\$367,452
109	Family Eldercare	Money Management	\$210,000	\$70,000	\$420,000
109	Foundation Communities	Afterschool Summer Youth Program	\$420,000	\$140,000	\$840,000
109	Capital Area Food Bank	Food Bank Services	\$681,141	\$227,047	\$1,362,282
109	Foundation Communities	Tax Prep & Financial Programs	\$371,250	\$123,750	\$742,500
108	VinCare Services of Austin	Saint Louise House	\$273,000	\$91,000	\$546,000
107	Helping the Aging, Needy and Disabled (HAND)	Charitable Care/Sliding Scale	\$120,933	\$40,311	\$241,866
106	Samaritan Center	Whole Body Mental Health Services	\$285,390	\$95,130	\$570,780
106	Foundation for the Homeless	Family Rehousing Initiative	\$713,958	\$237,986	\$1,427,916
106	Austin Children's Shelter	Wrap Around Residential Program	\$264,600	\$88,200	\$529,200
105	Planned Parenthood	Sisters Saving Sisters Program	\$144,612	\$48,204	\$289,224
105	Family Eldercare	Medication Management	\$163,800	\$54,600	\$327,600

Evaluation Score	Agency Name	Program Name	37-Month Funding	3, 12-Month Extension Options	Total Contract Amount
105	Workforce Solutions	Workforce and Education Readiness Continuum (C-13)	\$7,520,967	\$2,506,989	\$15,041,934
104	Salvation Army	Pathways & Partnerships	\$681,864	\$227,288	\$1,363,728
103	Court Appointed Special Advocates (CASA)	Transitioning Youth Program	\$120,000	\$40,000	\$240,000
102	Goodwill Industries Central Texas	Ready to Work	\$2,095,977	\$698,659	\$4,191,954
99	Easter Seals	Housing Services, Early Childhood, Comprehensive Outpatient Rehab, Youth Leaving Services, Adult Services	\$1,002,735	\$334,245	\$2,005,470
97	African American Youth Harvest Foundation	Enrichment of Low Income Youth	\$489,774	\$163,258	\$979,548
97	Texas Rio Grande Legal Aid	Legal Services	\$548,346	\$182,782	\$1,096,692
92	YWCA	YW Counseling & Referral Ctr (YWERC)	\$348,714	\$116,238	\$697,428
90	Austin ISD	Victory	\$615,600	\$205,200	\$1,231,200
82	Austin ISD	Primetime	\$1,921,833	\$640,611	\$3,843,666
82	Child Inc.	Early Steps to School Readiness Summer and After School Program	\$1,293,750	\$431,250	\$2,587,500
*	Council on At-Risk Youth (CARY)	Ounce of Prevention	\$480,000	\$160,000	\$960,000
*	River City Youth Foundation	Dove Springs	\$350,400	\$116,800	\$700,800
Total					\$96,391,362
* Council on At-Risk Youth (CARY) and River City Youth Foundation were disqualified from the RFA process by the Purchasing Office due to non-compliance with the solicitation requirements.					

**CITY OF AUSTIN
PURCHASING OFFICE
SUPPLEMENTAL PURCHASE PROVISIONS**

- C. **Additional Assignments:** The Contractor further agrees to, and if applicable, cause each of its employees to execute, acknowledge, and deliver all applications, specifications, oaths, assignments, and all other instruments which the City might reasonably deem necessary in order to apply for and obtain copyright protection, mask work registration, trademark registration and/or protection, letters patent, or any similar rights in any and all countries and in order to assign and convey to the City, its successors, assigns, and nominees, the sole and exclusive right, title, and interest in and to the Deliverables. The Contractor's obligations to execute acknowledge, and deliver (or cause to be executed, acknowledged, and delivered) instruments or papers such as those described in this Paragraph 36 A., B., and C. shall continue after the termination of this Contract with respect to such Deliverables. In the event the City should not seek to obtain copyright protection, mask work registration or patent protection for any of the Deliverables, but should arise to keep the same secret, the Contractor agrees to treat the same as Confidential Information under the terms of Paragraph above.

**SCOPE OF WORK
CITY OF AUSTIN
2014 SELF-SUFFICIENCY CONTINUUM FOR SOCIAL SERVICES**

1. INTRODUCTION

The overall objective for this competitive solicitation is to establish contracts with community-based organizations for services that promote self-sufficiency across the Life Continuum in an amount approximately \$13,815,227 per 12-month period. The contracted services shall target people who are residents of Austin and/or Travis County with gross income at or below 200% of federal poverty guidelines, with exceptions to this eligibility requirement for services designed specifically for homeless individuals and families and services designed specifically for victims of sexual and domestic violence.

To that end, the City of Austin (City) seeks applications in response to this Request for Applications (RFA) from qualified providers (Applicants) with demonstrated experience in providing social services to children, youth, adults and families, and/or seniors and persons with disabilities with diverse needs along a self-sufficiency continuum. The City requests applications that address social services' self-sufficiency goals across the Life Continuum.

1.1 Self-sufficiency Goals:

- a. Safety Net/Infrastructure Services: Ensure that no person is without such basic necessities as food, clothing, health, shelter, and behavioral health care, or constitutionally-guaranteed legal rights
- b. Transition Out of Poverty: Ensure developmental, educational, employment and other special opportunities for disadvantaged persons to further self-reliance
- c. Problem Prevention: Deter the growth of problem conditions at the individual and community level through education, preventive physical and behavioral health programs, crime prevention and other preventive programs
- d. Universal Support Services: Provide family and societal support services in response to long-term issues such as poverty and new problems created by urbanization and technological advances. These include education, child care, counseling and assistance for the aging, youth, homeless, and unemployed, rehabilitation services and other support rehabilitation services
- e. Enrichment: Encourage personal development and community enrichment through cultural and educational programs

1.2 Life Continuum Categories:

- a. Early Childhood: Represents the critical developmental period from birth through 5 years old. It provides the continuum of care (prevention, intervention, and treatment) that nurtures children to their optimal development in all domains: physical, social, emotional, language, and intellectual. Early childhood services support the evidence that children's development is intertwined with their environments and relationships at home, at school, and in the community, and with the adults in those environments including parents/families, caregivers, teachers, and service providers.
- b. Youth: Focuses on the lives and needs of youth and adolescents, defined as individuals ages 6-21, by addressing areas of opportunity, out of school time, youth enrichment, and healthy development. Through the participation of these programs, youth are given the

**SCOPE OF WORK
CITY OF AUSTIN
2014 SELF-SUFFICIENCY CONTINUUM FOR SOCIAL SERVICES**

tools to successfully transition through the educational continuum to employment; experience physical and emotional well-being; understand learning and training opportunities; and experience positive growth for themselves and their community.

- c. **Adults and Families:** Focuses on assisting adults and families with meeting their essential needs and improving or maintaining their quality of life by providing basic needs, housing and homeless services, behavioral health, workforce development and other social services.
- d. **Seniors & Persons with Disabilities:** With a rapidly growing number of seniors, defined as individuals of 55 years of age or older, and a significant population of people with disabilities, including both physical and mental disabilities, services to these individuals are intended to help them maintain dignity, independent living, housing stability, and to assist with basic needs.

Contracts entered into under this RFA are anticipated to be for an initial three-year period, beginning October 1, 2015, with three one-year renewal options for a total contract period not to exceed six (6) years. All contracts awarded through this solicitation will require authorization of the Austin City Council. The City Council has directed that final contract decisions be consistent with the goals of the Imagine Austin Comprehensive Plan and other community plans outlined in this solicitation.

2. BACKGROUND

A Focus on Self-Sufficiency Across the Life Continuum

In preparation for this RFA, the City engaged a broad range of stakeholders in community conversations and consulted various local, state, and federal action plans and reports. These efforts highlighted issue areas that promote self-sufficiency across the Life Continuum such as: 1) Basic Needs, 2) Behavioral Health, 3) Child and Youth Services, 4) Homeless Services, and 5) Workforce Development.

The following plans and reports identify significant needs in our community, gaps in services, and/or best practices for strategies that foster and support self-sufficiency for individuals and families. This is a partial list of the documents used and does not include all applicable plans and reports.

- a. *School Readiness Action Plan* (May 2012), UnitedWay
- b. *Priority Outcomes for Child and Youth Well-being*, (2012) Ready by 21 Coalition of Central Texas
- c. *Travis County Community Impact Report* (2012), Travis County HHS & VS
- d. *Hunger and Homelessness Survey* (Dec 2012), The U.S. Conference of Mayors
- e. *CAN Community Dashboard* (2012, 2013), Community Advancement Network
- f. *Permanent Supportive Housing Strategy* (September 2010), City of Austin & CSH
- g. *Home Health Quality Initiative* (April 2013), Centers for Medicare & Medicaid Services
- h. *10 Year Plan to End Homelessness* (2010), Ending Community Homelessness Coalition

**SCOPE OF WORK
CITY OF AUSTIN
2014 SELF-SUFFICIENCY CONTINUUM FOR SOCIAL SERVICES**

- i. *American Community Survey* (2012), U.S. Census Bureau – and the *Travis County Snapshot from the 2012 American Community Survey*, Travis County HHS & VS
- j. *SAMHSA's National Registry of Evidence-based Programs and Practices* (2013), The Substance Abuse and Mental Health Services Administration
- k. *Austin/Travis County Community Health Assessment* (2012), A/TCHHSD, Travis County HHS & VS, Central Health, St. David's Foundation, Seton Healthcare Family, UTHSC
- l. *Mayor's Mental Health Task Force Final Report* (2005), Austin/Travis County Behavioral Health Planning Partnership
- m. *Embracing an Age Diverse Austin: Mayor's Task Force on Aging Report and Recommendations* (2013), Mayor's Task Force on Aging
- n. *Imagine Austin* (2012), City of Austin

As the community's social and economic environment continues to change, the City will invest in social services that focus on promoting and sustaining self-sufficiency for targeted individuals and families across the Life Continuum.

3. PRINCIPAL OBJECTIVE & GOALS

This RFA establishes an open and competitive process which encourages applications that are client-centered and employ evidence-based, research-based or promising practices that promote self-sufficiency across the Life Continuum. This RFA requires the service strategy/strategies proposed be consistent with one or more of the goals outlined below:

- a. Early Childhood:
 1. **READY FAMILIES GOALS:** Parents have a secure attachment to their infants and young children. Parents respond appropriately to their children's cues. Families provide stimulating learning experiences for their children prior to school entry. Families are financially stable.
 2. **READY SERVICES: EARLY CHILDHOOD EDUCATION GOALS:** Affordable, accessible early education services are available for all families. Available early education services are culturally relevant, healthful, engaging, rigorous, and are of sufficient quality to measurably impact school readiness outcomes.
 3. **READY SERVICES: PREVENTATIVE PRIMARY CARE & MENTAL HEALTH GOALS:** Children and family members are linked to preventative physical and mental health services and treatment as needed. Children with developmental delays are referred to appropriate services.
 4. **READY CHILDREN GOALS:** Low-income Travis County children ages 0–5 are happy, healthy and prepared for school success.
(School Readiness Action Plan)
- b. Youth:
 1. Children, youth and young adults:

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- i. Are physically healthy
 - ii. Are physically safe
 - iii. Respect diversity and demonstrate empathy and pro-social behaviors
 - iv. Engage in community, school and/or extracurricular activities
 - v. Are aware of, appreciate and demonstrate behaviors of personal and social responsibility
 - vi. Have good mental health and are emotionally resilient
 - vii. Avoid risky behaviors
 - viii. Are academically successful
 - ix. Have awareness and positive attitudes about adult careers
 - x. Graduate from high school college- and/or career-ready and prepared for a Life of learning
 - xi. Successfully complete post-secondary education or training
 - xii. Are productive and equipped to reach financial self-sufficiency
- (Ready by 21)**

c. Adults and Families:

1. Basic Needs: Individuals and families have resources for the most fundamental aspects of daily living such as food, housing, utilities, safety and personal care. Basic needs services are often emergency or short-term services provided during/after a crisis or following a prolonged period of extremely limited resources. Typically these needs must be met before an individual or family has the capacity to transition out of poverty and into self-sufficiency.
2. Homeless & Housing Services: People at risk of becoming homeless, the situational homeless and the chronic homeless will be identified early and receive the assistance they need to maintain and receive appropriate housing (***Ending Community Homeless Coalition - ECHO***). People experiencing homelessness have access to a safe and secure environment where they are offered a variety of services, including case management, safe sleep, mental/physical supports, and resource information to address a variety of needs. Individuals and families who have experienced violence or abuse have access to trauma-informed emergency shelter, transitional and/or other housing and support services to stabilize, heal, and build self-sufficiency.
3. Behavioral Health: Austin/Travis County will be a community that promotes the mental and physical health of its residents and all persons of all cultures and all special populations will have access to prevention, intervention, treatment, and recovery support services of substance use disorders and mental illness (***Behavioral Health Planning Partnership***).
4. Workforce Development: Individuals are connected to jobs with good wages, benefits and career path opportunities to transition out of poverty and promote self-sufficiency. In many cases, for individuals to successfully transition into sustained employment, basic adult education and language acquisition services are required in addition to certifications and skills based instruction. Improve access to high quality adult education, including English as a Second Language, General Education Development, Adult Basic Education, computer literacy, financial literacy and health

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literacy to obtain literacy skills necessary for self-sufficiency (*Literacy Coalition of Central Texas*). Reduce disparities in education, employment and income (*Workforce Solutions Strategic Plan, Overarching Goals*).

d. Seniors & Persons with Disabilities:

1. Seniors:

- i. Provide a continuum of services and supports that help older adults “age in place/community” and avoid premature or unnecessary institutionalization (e.g., hospital, nursing homes, etc.)
- ii. Provide services that focus on the cognitive and mental/behavioral health of older adults such as late-life depression, anxiety, suicide prevention, substance abuse, and dementia.
- iii. Ensure access to meaningful opportunities for recreation and social engagement to avoid isolation, loneliness and depression.
- iv. Support family caregivers with services that promote their self-care, health and effectiveness (e.g., respite care, education, therapeutic counseling).
- v. Provide access to safe and affordable housing that allows older adults to age in place and have access to transportation options.

(Mayor’s Task Force on Aging 2013)

2. Persons with Disabilities:

- i. Provide a continuum of services and supports throughout the person’s Life to remain in community-based settings and avoid institutionalization (e.g., State Supported Living Center, prison, nursing homes, etc.).
- ii. Provide services and resources that support families and caregivers for the Life of the person with a disability (e.g., respite care, education, transitional services, etc.).
- iii. Provide access to affordable housing options that include accessible transportation opportunities to work, healthcare, shopping, education and play.
- iv. Provide opportunities for persons with disabilities to be employed in non-segregated, regular workplaces.
- v. Ensure access to meaningful day activities for adults with disabilities to avoid isolation, depression, and victimization

(Intellectual and Developmental Disabilities Coalition; “Community Integration for People with Disabilities: Key Principles.”)

4. CONNECTION TO IMAGINE AUSTIN

The Applicant shall indicate how the proposed strategy/strategies correspond to the Imagine Austin Comprehensive Plan vision statement and one or more of its core mission statements.

The Imagine Austin Comprehensive Plan vision statement states:

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“Austin is a beacon of sustainability, social equity, and economic opportunity; where diversity and creativity are celebrated; where community needs and values are recognized; where leadership comes from its citizens, and where the necessities of life are affordable and accessible to all.”

Imagine Austin’s core mission statements, as they relate to the City’s social service investments, are as follows:

Austin is Livable: All residents have a variety of urban, suburban, and semi-rural lifestyle choices with access to quality schools, libraries, parks and recreation, health and human services, and other outstanding public facilities and services.

- a. Austin’s diverse population is active and healthy, with access to locally-grown, nourishing foods and affordable healthcare

Austin is Educated: Austin provides everyone with an equal opportunity for the highest quality of education that allows them to fully develop their potential. Networks of community partnerships support our schools and ensure that our children receive the resources and services they need to thrive and learn.

- a. Our school campuses provide safe and stable environments enabling future success
- b. Every child in Austin has the chance to engage with other cultures, communities, and languages, providing pathways for healthy development and the critical thinking skills students need as future citizens of Austin and the world.

Austin is Prosperous: Austin’s prosperity exists because of the overall health, vitality, and sustainability of the city as a whole — including the skills, hard work, and qualities of our citizens, the stewardship of our natural resources, and developing conditions that foster both local businesses and large institutions.

- a. Equitable opportunities are accessible to all through quality education, training, and good jobs

Austin Values and Respects its People: Austin is its people. Our city is home to engaged, compassionate, creative, and independent thinking people, where diversity is a source of strength, and where we have the opportunity to fully participate and fulfill our potential. People across all parts of the city and of ages and income levels live in safe, stable neighborhoods with a variety of affordable and accessible homes with access to healthy food, economic opportunity, healthcare, education, and transportation

<http://assets.austintexas.gov/webiacpfullreduced.pdf>.

5. PROGRAM STRATEGIES & TARGET POPULATION

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The City is intentionally leaving program strategies and target population options open beyond the criteria listed in this section for the areas described above, allowing Applicants to propose solutions to maintain, improve, or promote self-sufficiency throughout the Life Continuum in an effective and successful manner for the target population identified. Applicants are encouraged to incorporate strategies that reflect evidence-based or promising practices and the proposed strategies shall be aligned with the Life Continuum goals outlined in Section 3 of this RFA.

The Applicant shall clearly identify the primary Life Continuum category addressed by their application. Any additional Life Continuum category/categories being addressed shall also be identified. Applicants may propose multiple strategies either within the same application or in separate applications as appropriate for their targeted population(s).

Applicants shall clearly identify the target population(s) they plan to serve. If applicable, Applicants shall describe how they will serve clients who have a criminal history.

The services the City will purchase will include the following characteristics:

- a. Are client-centered with a holistic approach
- b. Serves high-risk clients living at or below 200% of poverty with significant and/or multiple barriers to self-sufficiency and stability
- c. Are Integrated with the community to improve access to supportive services
- d. Links client and services to other City-funded or City-operated services

The Applicant shall also provide data to demonstrate the need for the strategy/strategies being proposed. Data should include but is not limited to:

- a. Target Population demographic/Census data
- b. Target Population unmet need(s)
- c. Applicant's trends in Target Population unmet need(s)
- d. Waiting list information (if applicable)
- e. Data from community databases, such as Homeless Management Information System, showing Target Population unmet need(s) (if applicable)

If the proposed strategies cut across the Life Continuum and or are collaborative/cooperative with other service providers, Applicants shall indicate how the proposed strategies will be implemented to successfully reach individuals in multiple Life Continuum categories and/or how the proposed collaborative/cooperative will successfully work together to maximize service delivery to the target populations. For the purposes of this RFA, the terms "collaborative" and "cooperative" are defined below:

- Collaborative: a consortium with a lead agency/fiscal agent and subcontractors
- Cooperative: a consortium with a lead agency working in partnership with one or more other agencies

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Applicants may submit one or more applications as a primary contractor and may choose to participate as a subcontractor or partner in another application.

6. OUTCOMES & OUTPUTS

One or more of the following high-level outcomes designed to demonstrate progress in self-sufficiency through the Life Continuum is required for all applications. Additional outcomes may also be proposed which show the connection to primary and secondary Life Continuum category/categories, if applicable.

1. Percent of households that maintain housing or transition into housing
2. Percent of individuals who maintain or increase income
3. Percent of individuals who make progress toward treatment plan goals
4. Percent of children and youth who progress to the next developmental or academic level
5. Percent of individuals who demonstrate improved life skills and/or knowledge

All applications shall also include the following high-level output. Additional outputs may also be proposed which show the connection to primary and secondary Life Continuum category/categories, if applicable.

1. Number of unduplicated clients served per 12-month contract period
2. Number of unduplicated clients served during the initial 36-month contract period

7. ELIGIBILITY REQUIREMENTS

The eligibility requirements for this RFA are outlined in Section 0620 – Client Eligibility Requirements. The City requires all awarded agencies to maintain a complete and current record of client eligibility throughout the entire contract period (e.g. client file or electronic record) that includes documentation of the elements listed in Section 0620.

Applicants may propose alternate eligibility criteria from the requirements in Section 0620 for the proposed target population(s). If applicable, Applicants shall clearly define the proposed alternate eligibility criteria.

Applicants shall describe how the City Client Eligibility Requirements (Section 0620) or the proposed alternate eligibility criteria will be documented for the target population(s) identified in the application.

8. FUNDING INFORMATION

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- a. \$13,815,227 is available per 12-month period for all Life Continuum categories for a total three-year amount of \$41,445,681 dependent upon Austin City Council approval.
 - 1. The following funding amounts are available for each Life Continuum category per 12-month period:
 - i. Early Childhood - \$949,416
 - ii. Youth - \$1,961,339
 - iii. Adults and Family - \$7,327,622
 - iv. Seniors and People with Disabilities - \$813,804
 - v. \$2,763,045 is available to be awarded in any Life Continuum category
- b. Applicants shall apply for at least \$50,000 per 12-month period.
- c. It is the City's intent to provide initial three-year contract with three (3) one-year renewal options, for a total contract period not to exceed six (6) years. The initial three-year contract funding period will be October 1, 2015, through September 30, 2018.
- d. The City of Austin reserves the right to adjust the contract amount or scope of work over the contract period based on community needs, applicant's ability to expend funds in a timely manner or any other factor. When the City determines adjustments need to be made, the City will provide at least 90-day notice to the contractor.

9. ELIGIBLE APPLICANTS

- a. Any nonprofit or governmental agency that can legally contract with the City (as verified by the City Purchasing Office).
 - 1. City policy does not permit entering into a contract with an entity that owes taxes to the City.
 - 2. The Applicant and its principals may not be currently suspended or debarred from doing business with the Federal Government, as indicated by the United States General Services Administration list of Parties Excluded from Federal Procurement and Non-Procurement Programs, the State of Texas, or the City of Austin.
- b. Applicants shall be able to meet the City's insurance requirements for social service contractors. See the insurance requirements in Section 0400 of the RFP.
- c. Applicant's two most recent consecutive audit years:
 - 1. Shall reflect an unqualified and/or unmodified audit opinion
 - 2. Shall not reflect a "Going Concern Uncertainty"
 - 3. Shall not reflect financial management issues unless Applicant can provide evidence that necessary changes have been implemented.
- d. Applicant's Board of Directors shall:
 - 1. Have specific terms delineated by a beginning and ending date
 - 2. Meet in person a minimum of three times per fiscal year
 - 3. Have a process to review program performance, approve budgets, review financial performance and approve audit reports.
- e. Within the last five years, the Applicant shall have a minimum of two years successful experience working with the proposed target populations and providing the proposed services to clients.

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All Applicants must submit the following documents in a sealed envelope in the same package as their application:

- a. Completed Application Threshold Checklist (Section 0610)
- b. Current Board of Directors by-laws
- c. Approved Board of Directors minutes during the previous fiscal year reflecting the Board has a documented process that:
 - a. reviews program performance
 - b. approves budgets
 - c. reviews financial performance
 - d. approves audit reports
- d. Copy of the most recently filed 990 or 990 EZ, or Extension to File documentation (no older than FY 2012)
- e. A complete set of audited financial statements which include the auditor's opinion and any management letters, covering the two most recent consecutive audit years

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APPLICATION SUBMISSION REQUIREMENTS

The Applicant must submit its response in two **SEPARATE** sealed envelopes.

ENVELOPE #1 – THRESHOLD REVIEW

This sealed envelope must contain the following:

1. **Application Threshold Checklist – Section 0610**
2. Required Attachments

The envelope should be labeled: THRESHOLD REVIEW CHECKLIST
[NAME OF AGENCY]
[NAME OF PROPOSED PROGRAM]

ENVELOPE #2 – APPLICATION DOCUMENTS

This sealed envelope must contain the following:

1 original and 6 CDs or flash drives each containing all the elements below:

1. Executive Summary
2. Application
3. Attachments

The envelope should be labeled: APPLICATION DOCUMENTS
[NAME OF AGENCY]

BOTH SETS OF ENVELOPES SHOULD BE SHIPPED IN A BOX (OR BOXES) WITH THE SOLICITATION NUMBER **EAD0116 CLEARLY MARKED ON THE OUTSIDE AND IDENTIFY WHICH ENVELOPE IS IN WHICH PACKAGE.**

Executive Summary

The Executive Summary cannot exceed two (2) pages using the Application Format guidelines listed below and must include:

1. A brief description of the Applicant

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2. A brief description of how the application will address the primary self-sufficiency goal and Life Continuum category identified
3. A brief description of any additional self-sufficiency goals and/or Life Continuum categories addressed
4. A brief description of the need of the target population(s) for the strategy/strategies being proposed
5. A brief summary of the proposed program strategy/strategies
6. The amount of funding requested
7. A statement of the Applicant's compliance with all applicable rules and regulations of Federal, State and Local governing entities is required. The Applicant must state compliance with all terms of this Request for Application (RFA).

Application Evaluation

An application must address each item in Parts I, II, & III, outlined below, in order to be considered responsive to the goals of this RFA. Part IV is optional and is not required in order for an application to be considered responsive to the goals of this RFA. A total of 100 points may be awarded to the application in Parts I, II, & III below with an additional 25 bonus points available in Part IV for a potential of 125 total evaluation points. The maximum score per section is noted at the beginning of each section. All responses will be evaluated as to how the proposed program aligns with the goals of this RFA and whether each required response to the evaluation factors has been adequately addressed.

Application Format

The Applicant must use size 12 Times New Roman font. An original Application must be printed double-spaced on single-sided 8½ x 11 inch plain white paper with 1" margins and no Page Scaling. Do not submit booklets, pamphlets, or other bulky items. Do not use covers, card stock, staples, binders, notebooks, or dividers with tabs. Fasten the proposal with binder clips only.

An application cannot exceed **25 (twenty-five) pages**, excluding executive summary, table of contents, signed certifications, budget forms, MOUs, logic models, resumes, job descriptions or other required attachments outlined in the sections below. An **additional 5 (five) pages** is allowed if an application responds to any or all of the items in Part IV of this RFA.

The actual application itself should be organized and labeled using the following

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informational sequence:

Part I – Program Overview and Strategy

Total points: 70

A. Connection to the Self-Sufficiency Goals and Life Continuum Categories

Applicants must use Section 0615 – Connection to Self-Sufficiency Goals and Life Continuum Categories to identify the primary self-sufficiency goal and Life Continuum category the application addresses.

1. Provide information on how the application meets the primary self-sufficiency goal and Life Continuum category.
 - a. If additional self-sufficiency goals and Life Continuum categories are addressed, Applicants must use Section 0615 – Connection to Self-Sufficiency Goals and Life Continuum Categories to identify the secondary self-sufficiency goal(s) and Life Continuum category/categories the application addresses. Applicant must also provide information on how the application meets the additional self-sufficiency goal(s) and/or Life Continuum category/categories in Part IV – Bonus Evaluation Points, Section A – Connection to Additional Self-Sufficiency Goal(s) and Life Continuum Category(ies).

For a detailed description of the Self-Sufficiency Goals and Life Continuum Categories, see Section 0500 – Scope of Work: Section 1 – Introduction, 1.1 & 1.2.

B. Target Population(s) for the Goal(s)

1. Describe the target population(s) that will be served and if this population is similar to or different from your current service population.
 - a. If the target population(s) is similar to your current service population, please provide a description of your experience and success working with this population.
 - b. If the target population(s) is different from your current service population, describe the modifications and new strategies you will implement to serve the new target population(s).
2. Provide data and data source(s) to demonstrate the need of the target population(s) for the strategy/strategies being proposed. Data should include but are not limited to:
 - a. Target population demographic/Census data
 - b. Quantified target population unmet need(s)
 - c. Applicant's trends in target population unmet need(s)
 - d. Waiting list information (if applicable)
 - e. Data from community databases, such as Homeless Management Information System, showing target population unmet need(s) (if applicable)

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3. Describe the strategy/strategies that will be implemented to serve clients with a criminal history.
4. Describe how the Client Eligibility Requirements (Section 0620) will be documented for the target population(s) identified in the application.
 - a. If alternate eligibility criteria are being proposed, define the alternate eligibility criteria and provide justification about why the alternate eligibility criteria are appropriate for the proposed strategy/strategies. Also describe how the alternate eligibility criteria will be documented for the target population(s) identified in the application.
5. Describe how the agency will ensure all four of the following National Culturally and Linguistically Appropriate Services (CLAS) Standards in Health and Health Care (<http://minorityhealth.hhs.gov/templates/browse.aspx?lvl=2&lvlID=15>) are in place to ensure cultural and language differences are not a barrier to services.
 - a. Educate and train governance, leadership, and workforce in culturally and linguistically appropriate policies and practices on an ongoing basis.
 - b. Offer language assistance to individuals who have limited English proficiency and/or other communication needs, at no cost to them, to facilitate timely access to all health care and services.
 - c. Inform all individuals of the availability of language assistance services clearly and in their preferred language, verbally and in writing.
 - d. Ensure the competence of individuals providing language assistance, recognizing that the use of untrained individuals and/or minors as interpreters should be avoided.

Agencies are encouraged to implement all 15 CLAS Standards listed on the website identified above.

C. Program Strategy to Accomplish the Goals

1. Describe the program strategy/strategies.
2. Describe how the proposed strategy/strategies reflect evidence-based, research-based, or promising practices. Explain the rationale behind the program design. Include which level of evidence the program model falls in, according to the Section 0635 - Defining Evidence Guideline, and how this design meets the specific needs of the target population(s) identified in the application.
 - a. If the program falls in the category of evidence-based or research-based, provide a description of evidence used, including source(s), and method for ensuring program model fidelity. Provide a logic model for innovative approaches.
 - b. If the program falls into the category of “promising practice,” include (a) a logic model as an attachment to the application and (b) a brief plan for evaluation.
3. Describe how the program strategy/strategies align with one or more of the goals outlined in Section 0500 – Scope of Work: Section 3 – Principal Objective and Goals.

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4. Describe how the program strategy/strategies correspond to the Imagine Austin Comprehensive Plan vision statement and one or more of its core mission statements (Section 0500 – Scope of Work: Section 4 – Connection to Imagine Austin).
5. Describe any barriers and challenges the target population(s) may encounter accessing services and how these barriers and challenges will be mitigated.
6. If the proposed strategy/strategies reach individuals in multiple Life Continuum categories and/or are collaborative/cooperative with other service providers, describe how the proposed strategies will be implemented to successfully reach individuals in multiple Life Continuum categories and/or how the proposed collaborative/cooperative will successfully work together to maximize service delivery to the target populations.
7. Describe any barriers and challenges you may encounter implementing the proposed strategy/strategies and how you will overcome them.
8. Describe any subcontractor partnerships funded under this application and informal relationships with service providers not funded under this application. Describe how they are necessary and/or appropriate for the strategy/strategies proposed.
9. Describe the project activities.
10. *For Applicants proposing homelessness prevention and/or homeless intervention services:* Applicants will be required to adhere with the City of Austin Health and Human Services Department Homeless Housing Habitability Standards. Describe how your organization will comply with the requirements outlined in Section 0625 – Homeless Housing Habitability Standards.

D. Performance Measures – Impact on the Goals

Applicants must use Section 0640 – Program Performance Measures and Goals to indicate their specific Output and Outcome Measures.

1. Describe how the Applicant will calculate the required and any other proposed outputs and outcomes.

Output Measures

All applications must include the following high-level outputs:

1. Number of unduplicated clients served per 12-month contract period
2. Number of unduplicated clients served during the initial 36-month contract period

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Additional outputs may also be proposed which show the connection to primary and secondary Life Continuum category/categories, if applicable.

Outcome Measures

All applications must include one or more of the following high-level outcomes designed to demonstrate progress toward self-sufficiency through the Life Continuum:

1. Percent of households that maintain housing or transition into housing
2. Percent of individuals who maintain or increase income
3. Percent of individuals who make progress toward treatment plan goals
4. Percent of children and youth who progress to the next developmental or academic level
5. Percent of individuals who demonstrate improved life skills and/or knowledge

Additional outcomes may also be proposed which show the connection to primary and secondary Life Continuum category/categories, if applicable.

E. Service Coordination

1. Describe how the Applicant coordinates their services with services being provided by other agencies relevant to the proposed strategy/strategies in order to minimize duplication and maximize client access to services.
2. Describe how the Applicant coordinates with other agencies (i.e. to refer and receive clients, to provide comprehensive services, etc.). If you are not currently coordinating with other agencies, what is your plan for establishing coordination?
3. If applicable, attach any program Memoranda of Understanding (MOU) and explain how this arrangement improves service delivery to clients.
4. Describe how clients will be connected to mainstream resources/public benefits (Supplemental Nutrition Assistance Program, Temporary Assistance for Needy Families, Medical Assistance Program, etc.) and/or other City-funded services in order to maximize self-sufficiency.
5. Describe any additional services, not included in this application, which will be provided to the target population and how they will access those services initially and over time.
6. *For Applicants proposing homelessness prevention and/or homeless intervention services:* Describe how your organization has participated in planning for the Coordinated Assessment initiative (<http://austinecho.org/the-solution/coordinated-assessment/> and https://www.onecpd.info/resources/documents/Coordinated%20Assessment_3.20.12.pdf) and how your organization will coordinate and collaborate with this community initiative

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throughout the funding period.

F. Community Planning Activities

1. Describe Applicant's involvement in community planning activities that are specific to the services proposed in this application.
2. Describe Applicant's involvement in any other relevant community planning activities.

G. Overall Evaluation Factors Regarding Applicant

1. Describe the Applicant's experience within the last five (5) years managing relevant local, state, and/or federal contracts and include the contact information of the funder for the contract(s) identified, e.g., Funder Contract Manager's name, title, and phone number.
 - a. The Applicant must describe any relevant City of Austin Health and Human Services Department funding received within the last five (5) years.

Attach all monitoring reports received within the previous 24 months of administering the relevant City of Austin Health and Human Services Department, other local, state, and/or federal contracts.

2. Describe experience within the last five (5) years working with the target populations proposed in this Application.
3. Describe experience within the last five (5) years providing services identical and/or similar to those proposed in this application.

H. Data Management and Program Evaluation

1. Describe past successes and challenges with data management and reporting, including past experience utilizing an electronic data system.
2. Describe how data are used for identifying problems in strategies, service delivery and expenditures, steps to determine corrective actions, and how the Applicant will ensure corrective actions will be effective.
3. If applicable, describe the process used to collect data from collaborations/cooperatives in a timely manner.
4. *For Applicants proposing homelessness prevention and/or homeless intervention services:*

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Applicant will be required to utilize the Local Homeless Management Information System (HMIS) to track and report client information for individuals who are at risk of homelessness or who are homeless. Please explain how your organization will comply with the requirements outlined in Section 0630 – Homeless Management Information System (HMIS) Reporting Requirements.

I. Staffing Plan

1. Describe the overall staffing plan to accomplish activities including project leadership and reporting responsibilities. Provide justification which indicates the staffing plan is appropriate for the proposed strategy/strategies.
2. Using Section 0645 – Program Staff Positions and Time, list the project staff by title and the percentage of each position's time to be spent on the program.
3. Attach resumes or position descriptions for key staff to perform the described services and/or activities.

Part II – Cost Effectiveness

Total points: 20

Applicants are required to submit a budget of at least \$50,000 per 12-month period (a minimum of \$150,000 for the initial 36-month period) and provide the following information to describe the budget necessary to accomplish the proposed strategy/strategies.

The application will be evaluated on how well it addresses **all** of the following:

A. Budget

1. A summary description of the budget justification for the program strategy/strategies is required.
 - a. Applicants must use Section 0650 – Program Budget and Narrative to provide the required budget information. All expenses should be identifiable, reasonable, and necessary.
 - b. All subcontractors in this application who will receive City funds must be included in the program budget and the Applicant shall provide separate details for each subcontractor in the Program Subcontractors form located in Section 0650 – Program Budget and Narrative, page 3.
2. Describe the Applicant's fundraising and administrative percentage, calculated from its most recent Form 990. To do so, add the amount in Part IX (Statement of Functional

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Expenses), Line 25, Column C (Management and General Expenses) to the amount in Line 25, Column D (Fundraising Expenses), and divide the sum by Part VIII (Statement of Revenue), Line 12, Column A (Total Revenue), and multiply the result by 100. No other methods may be used to calculate this percentage.

For organizations that filed the short form (IRS Form 990EZ), utilize the long form (IRS Form 990) at <http://www.irs.gov/pub/irs-pdf/f990.pdf> (and instructions <http://www.irs.gov/pub/irs-pdf/i990.pdf>) to determine your fundraising and administrative percentage calculation. Your organization is not required to complete and resubmit the entire long form to the IRS, but must determine the calculation from the long form (IRS Form 990) parts identified above.

B. Cost per Client

1. Describe the average cost per City client served. In the description, detail the calculation used to derive the average cost.
2. If applicable, describe the average cost per client served from all funding sources. In the description, detail the calculation used to derive the average cost.
3. Describe the average cost per client achieving each of the performance measures proposed. In the description, detail the calculation used to derive the average cost.
4. Provide justification which indicates the proposed cost is appropriate for the proposed strategy/strategies.
5. Describe the return on investment/social impact the proposed strategy/strategies will make.

C. Program Funding Summary

1. Using Section 0655 – Program Funding Summary, provide an overview of all funding sources the Applicant will use for the proposed project.

Part III – Local Business Presence

Total points: 10

Local Business Presence: The City seeks opportunities for businesses in the Austin Corporate City Limits to participate on City contracts. A firm (Offeror or Subcontractor) is considered to have a Local Business Presence if the firm is headquartered in the Austin Corporate City Limits, or has a branch office located in the Austin Corporate City Limits in operation for the last five (5) years. The City defines headquarters as the administrative center where most of the

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important functions and full responsibility for managing and coordinating the business activities of the firm are located. The City defines branch office as a smaller, remotely located office that is separate from a firm's headquarters that offers the services requested and required under this solicitation. Points will be awarded through a combination of the Offeror's Local Business Presence and/or the Local Business Presence of their subcontractors.

1. Using Section 0605 – Local Business Presence Identification Form provide the information requested regarding the Applicant and Subcontractor(s), if applicable.

Team's Local Business Presence	Points Awarded
Local business presence of 90% to 100%	10
Local business presence of 75% to 89%	8
Local business presence of 50% to 74%	6
Local business presence of 25% to 49%	4
Local presence of between 1 and 24%	2
No local presence	0

Part IV – Bonus Evaluation Points

Total points: 25

A. Collaborations/Connection to Additional Self-Sufficiency Goal(s) & Life Continuum Category(ies)

Maximum 10 points

A maximum of 10 points will be awarded for Applicants who successfully propose a collaborative, as defined in this solicitation, and/or meets additional self-sufficiency goal(s) and/or Life Continuum category/categories. Applicants will be awarded up to the point values indicated below:

- **Collaboration:**
 - A maximum of 5 points will be awarded for Applicants who successfully demonstrate how the proposed collaborative will work together to maximize service delivery to the target populations **or**
 - A maximum of 10 points will be awarded for Applicants who successfully demonstrate how the proposed collaborative will work together to maximize service delivery to the target populations **and** successfully demonstrate how the application

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meets additional Self-Sufficiency Goal(s) **and/or** Life Continuum category/categories.

OR

- **Connection to Additional Self-Sufficiency Goal(s) & Life Continuum Category(ies):**
 - A maximum of 5 points will be awarded for Applicants who successfully demonstrate how the application meets additional Self-Sufficiency Goal(s) **or**
 - A maximum of 10 points will be awarded for Applicants who successfully demonstrate how the application meets additional Self-Sufficiency Goal(s) **and** Life Continuum category/categories.

Applicants must use Section 0615 – Connection to Self-Sufficiency Goals and Life Continuum Categories to indicate the secondary self-sufficiency goal(s) and Life Continuum category/categories their application addresses.

1. If applicable, describe how the proposed collaborative will successfully work together to maximize service delivery to the target population(s).
2. If applicable, provide information on how the application meets the additional self-sufficiency goal(s) and/or Life Continuum category/categories.

For a detailed description of the Self-Sufficiency Goals and Life Continuum Categories, see Section 0500: Section 1 – Introduction, 1.1 & 1.2.

B. Leveraging

5 points

For purposes of this solicitation, “leveraging” is specifically defined as follows.

- Leveraged funding is a situation where City funding for the proposed program is required by a third-party funder in order to retain the existing third-party program funding and/or obtain new third-party funding. Applicant must either:
 - currently receive third party funding that will no longer be received by the Applicant if it does not receive City funding for the program, or
 - Applicant has received a notice of funding award from a third-party funder that is contingent upon receiving City funding for the proposed program.In other words, leveraged funding is current and/or committed third-party funding that will be rescinded, reduced, or withdrawn if the Applicant does not receive an award for the proposed program through this City solicitation.
- Leveraged funding must be direct funding for the program proposed by the Applicant and not funding for Applicant’s other programs or solely for Applicant’s general operations.

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The following types of funding/donations ARE NOT considered “leveraging” under this solicitation and may not be included for consideration:

- Funding from non-City sources that does not specifically require City funding to be awarded to the Applicant for the proposed program.
- Funding and funding opportunities that are anticipated but for which the Applicant has not received a notice of funding/award.
- Any type of in-kind, non-cash revenue such as time, expertise, or commodities.
- Anticipated “Return on Investment” benefits for the Applicant or for the community as a whole.

For each leverage opportunity, provide the following information:

1. Identify the third party which requires that the Applicant receive City funding for the program in order to be awarded the third-party funds.
2. Provide the name of the grant, award, or program under which the third-party funds are/will be awarded to the Applicant, the term of the third-party funding, and the amount of third-party funding contingent upon receiving City funding under this solicitation.
3. Specify the date(s) during which the third party requires that the Applicant to receive City funding in order to be awarded the third-party funds.
4. Describe the quantified impact on the proposed program if the Applicant does not receive City funding under this solicitation.
5. Provide contract or other documentation that confirms the requirement of City funding in order to receive the third-party funding as an attachment to the application.

C. Healthy Service Environment

Maximum 10 points

A maximum of 10 points will be awarded for Applicants who create a healthy service environment for their clients, visitors, and staff. Applicants will be awarded the point values indicated below for having implemented or agreeing to implement prior to 10/01/15 any or all of the four (4) Healthy Service Environment policies with a maximum award of 10 points for all four (4) policies described below.

- **Tobacco-free Campus (3 points)** - Applicant has established and is enforcing a tobacco-free worksite policy and has developed initiatives and programming that promotes tobacco-free living. A tobacco-free campus policy states:

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- Use of tobacco products of any kind are not permitted on any property owned, leased, or rented by the organization (indoors and outdoors). This also includes parking areas and company cars. The policy applies to all employees, subcontractors, temporary workers and visitors.
 - **Mother-Friendly Workplace (3 points)** - Applicant actively promotes and supports breastfeeding by employees and maintains a written worksite lactation support policy that is regularly communicated to employees. The policy includes:
 - employer provides work schedule flexibility, including scheduling breaks and work patterns to provide time for expression of milk;
 - the provision of accessible locations allowing privacy;
 - access nearby to a clean, safe water source and a sink for washing hands and rinsing out any needed breast-pumping equipment; and
 - access to hygienic storage alternatives in the workplace for the mother's breast milk (may include the allowance of personal coolers onsite).
 - **Employee Wellness Initiative (3 points)** - The Applicant has a comprehensive Employee Wellness Initiative in place that promotes nutrition, physical activity, tobacco-free living, and the mental health of employees. The initiative encompasses healthy changes to the physical worksite environment as well as formal, written health promotion policies, programs or benefits impacting all employees. The initiative is promoted through educational and issue awareness efforts by the Applicant, signage and a supportive company culture, championed by leadership.
 - **Violence Prevention Policy (1 point)** - The Applicant is committed to providing a safe environment for working and conducting business. The Applicant will not tolerate or ignore behaviors that are threatening or violent in nature. The Applicant has a procedure to provide guidance for identifying and reporting threats and workplace violence.
1. If applicable, describe how the Applicant has implemented one or more of the Healthy Service Environment policies outlined above. Include the approved and signed policy/policies as an attachment to the application.
 2. If applicable, describe how the Applicant plans to implement one or more of the Healthy Service Environment policies outlined above. Include the key personnel, by position name only, responsible for ensuring implementation. Also, describe any technical assistance which will be provided to assist the Applicant to implement the selected policy/policies.

Technical assistance is available from the City of Austin Health and Human Services Department Chronic Disease Prevention and Control Program to assist Applicants in planning and implementing a Tobacco-free Campus policy, Mother-Friendly Workplace policy and Employee Wellness Initiative. They can be contacted at 512-972-6760.

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Additional Information:

Proposal Acceptance Period: All applications shall be valid until award, negotiation, and execution of contracts as directed by Austin City Council.

Proprietary Information: All material submitted to the City becomes public property and is subject to the Texas Open Records Act upon receipt. If a Proposer does not desire proprietary information in the proposal to be disclosed, each page must be identified and marked proprietary at time of submittal. The City will, to the extent allowed by law, endeavor to protect such information from disclosure. The final decision as to what information must be disclosed, however, lies with the Texas Attorney General. Failure to identify proprietary information will result in all unmarked sections being deemed non-proprietary and available upon public request.

Authorized Negotiator: Include name, address, and telephone number of person in your organization authorized to negotiate Contract terms and render binding decisions on Contract matters.

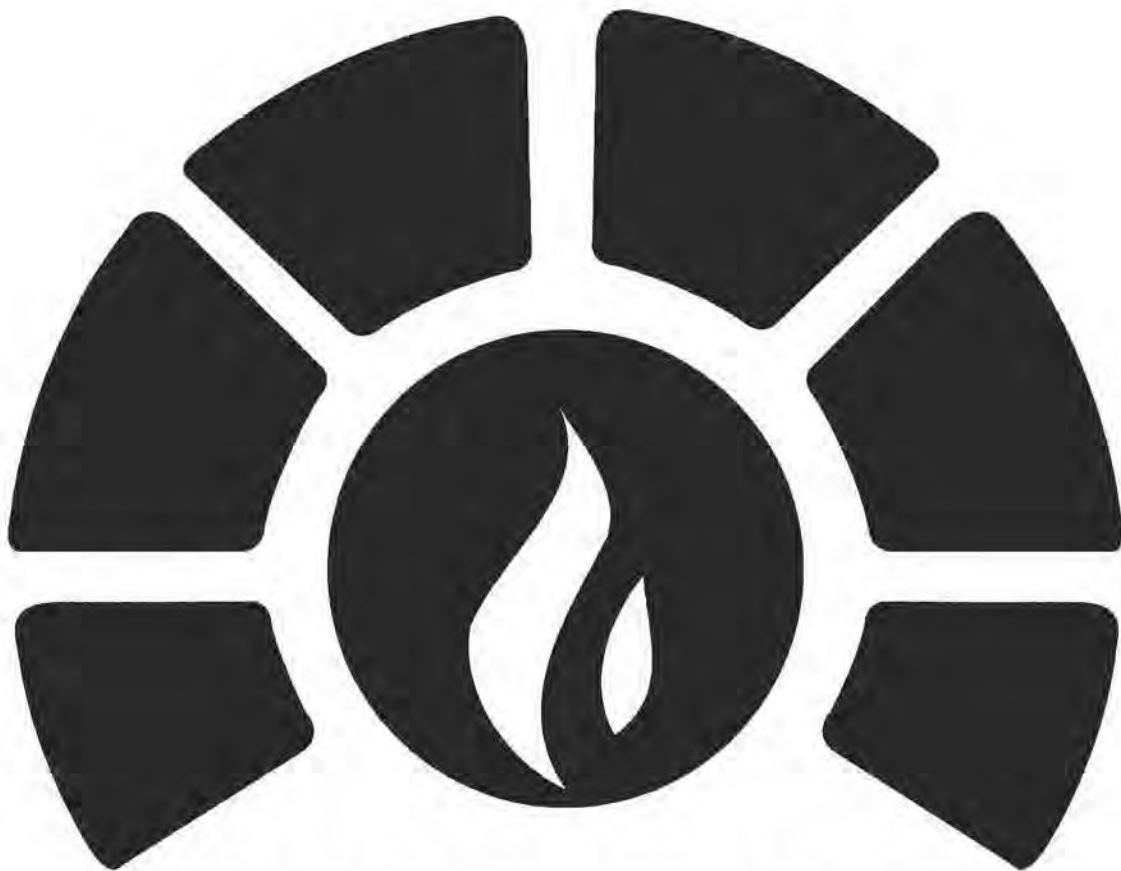
Exceptions: Please be advised that exceptions to any portion of the Solicitation may jeopardize acceptance of the application.

Application Preparation Costs: All costs directly or indirectly related to preparation of a response to the RFA or any oral presentation required to supplement and/or clarify an application which may be required by the City shall be the sole responsibility of the Applicant.

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

Section 0605—Local Business Presence



CARITAS

Section 0605: Local Business Presence Identification

A firm (Offeror or Subcontractor) is considered to have a Local Business Presence if the firm is headquartered in the Austin Corporate City Limits, or has a branch office located in the Austin Corporate City Limits in operation for the last five (5) years. The City defines headquarters as the administrative center where most of the important functions and full responsibility for managing and coordinating the business activities of the firm are located. The City defines branch office as a smaller, remotely located office that is separate from a firm's headquarters that offers the services requested and required under this solicitation.

OFFEROR MUST SUBMIT THE FOLLOWING INFORMATION FOR EACH LOCAL BUSINESS (INCLUDING THE OFFEROR, IF APPLICABLE) TO BE CONSIDERED FOR LOCAL PRESENCE.

NOTE: ALL FIRMS MUST BE IDENTIFIED ON THE MBE/WBE COMPLIANCE PLAN OR NO GOALS UTILIZATION PLAN, SECTION 0900 OF THE SOLICITATION.

USE ADDITIONAL PAGES AS NECESSARY

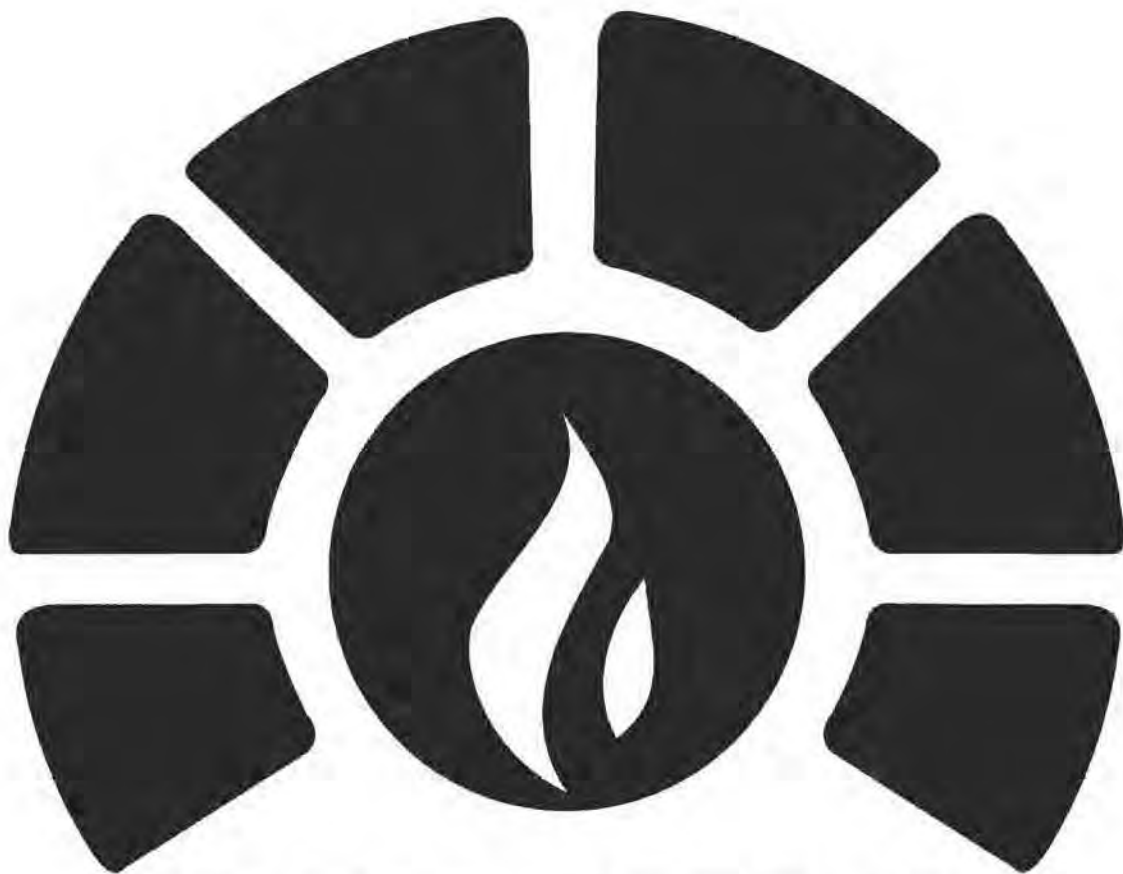
OFFEROR:

Name of Local Firm	Caritas of Austin					
Physical Address	611 Neches Street					
Is Firm located in the Corporate City Limits? (circle one)	<input checked="" type="checkbox"/> Yes			No		
In business at this location for past 5 yrs?	<input checked="" type="checkbox"/> Yes			No		
Location Type:	Headquarters	Yes <input checked="" type="checkbox"/>	No	Branch	Yes	No <input checked="" type="checkbox"/>

SUBCONTRACTOR(S):

Name of Local Firm	Linda Valseca, MA, LPC, LCDC					
Physical Address	1823 Fortview Road, Suite 105, Austin, Texas 78704					
Is Firm located in the Corporate City Limits? (circle one)	<input checked="" type="checkbox"/> Yes			No		
In business at this location for past 5 yrs?	<input checked="" type="checkbox"/> Yes			No		
Location Type:	Headquarters	Yes <input checked="" type="checkbox"/>	No	Branch	Yes	No <input checked="" type="checkbox"/>

Caritas of Austin
Mental and Behavioral Health Services (MBHS)
Executive Summary



CARITAS

Executive Summary

1. Description of applicant: Caritas of Austin was founded in 1964 to help the most vulnerable individuals with basic needs such as food and shelter. Today, Caritas serves over 20,000 individuals in Austin and Travis County who are experiencing homelessness or are at-risk of losing their homes, including refugees fleeing religious and political persecution. Caritas utilizes evidence-based practices to address the issues of poverty and homelessness. Caritas considers quality case management the cornerstone of all programs and essential to client and program success. Case management encompasses assistance with accessing mainstream benefits/services, addressing physical and mental health issues, employment, housing, food, education and more. When provided case management and safety net services clients can stabilize with the help of the housing stability programs like, Permanent Supportive Housing (PSH), Supportive Services for Veteran Families (SSFV), Refugee Resettlement, and Education Services. The focus of all programs at Caritas – it is a triad of care – income, housing and self-care. These represent where both the challenges and solutions live in transitioning from instability to self-sufficiency.

2. How this application will address the primary self-sufficiency goal and Life Continuum category identified: The primary Life Continuum category of “*Adults and Families*” with a self-sufficiency goal of “*Problem Prevention*” were chosen because it best fits the overall populations Caritas serve and the focus of the Mental Behavioral Health Services (MBHS) program. The MBHS program will utilize evidenced-based strategies such as Critical Time Intervention (CTI) and provide an array of rich and relevant professional education on clinical techniques to ensure staff is equipped with the strongest and sharpest tools to assist persons with mental illness to move along the change continuum. The strategies of the MBHS program are laser focused on improving the quality of life for persons challenged with mental illness and on preventing relapse

with innovative and preventative approaches.

3. Description of any additional self-sufficiency goals and/or Life Continuum categories

addressed: An additional self-sufficiency goal is “Universal Support Services” and a Life Continuum category of “Seniors & Persons with Disabilities.” MBHS will predominantly serve clients in the PSH program (although all programs at Caritas may refer) – 100% have a least one disabling condition and many struggle with co-occurring conditions. Under the self-sufficiency goal of “Universal Support Services,” MBHS will provide services to the aging, those with disabilities in the area of counseling, education and employment.

4. Description of the need of the target population(s) for the strategies being proposed:

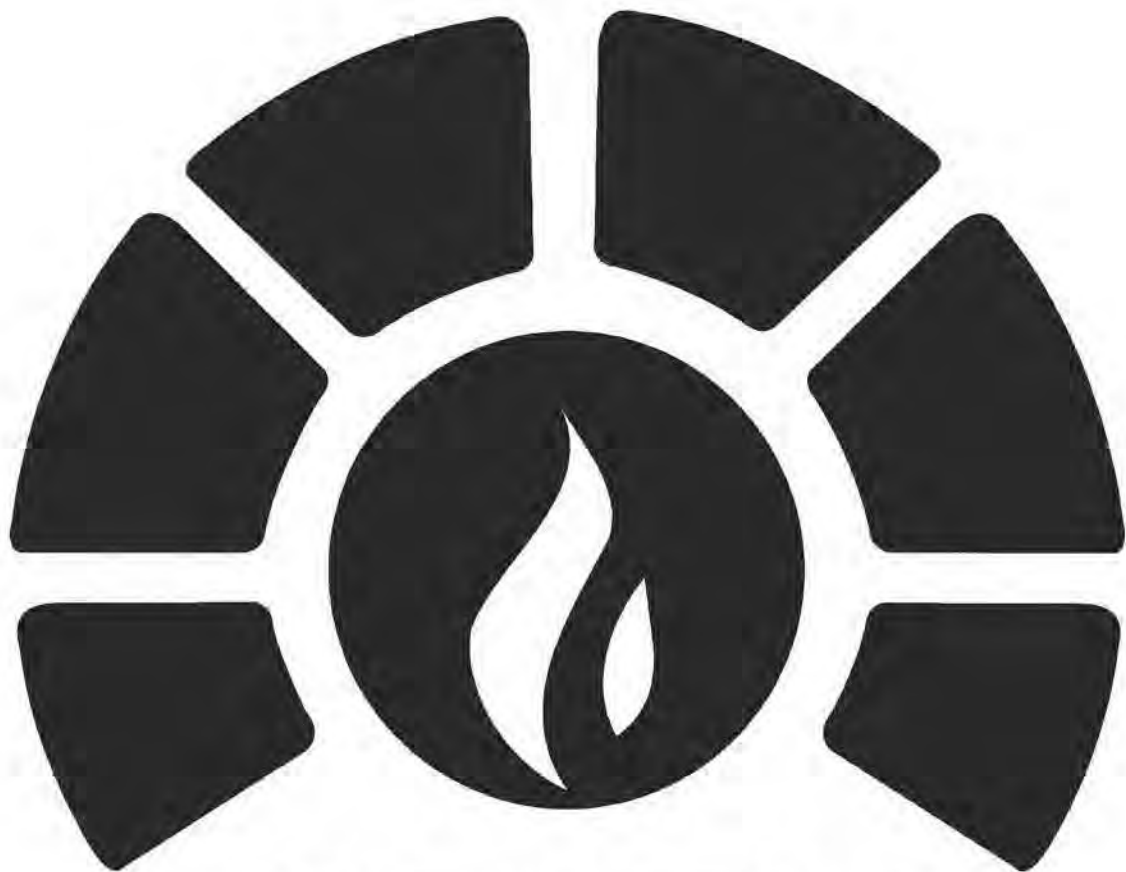
Untreated mental health issues abound for the chronically homeless and those living in poverty. Due to an overburdened community mental health system – services and especially preventative mental health services are difficult to access. MBHS strategies allow for highly trained case managers and support staff using the CTI model to identify and act proactively to meet the mental health needs of clients.

5. Summary of the proposed program strategies: MBHS brings together the best strategies of evidence-based practices for mental health services, such as: the use of CTI as a case management model designed specifically for working with the chronically homeless and those struggling with mental illness, and the Homeless Management Information System (HMIS) which allows for data driven program evaluation, client progress tracking and ensures case managers and support staff have access to the best academic mental health trainings available.

6. Amount of funding requested: \$310,505.

7. Compliance statement: Caritas shall comply with all applicable rules and regulations of Federal, State and Local governing entities and will comply with all terms of this RFA.

Caritas of Austin
Mental and Behavioral Health Services (MBHS)
Application



CARITAS

Part I – Program Overview/Strategy.

A. Connection to the Self-Sufficiency Goals & Life Continuum Categories.

1. How the application meets the primary self-sufficiency goal & Life Continuum category.

Caritas serves the most vulnerable in the community: the homeless, disabled, chronically homeless with disabilities, documented refugees fleeing religious/political persecution, and the working poor. The Mental and Behavioral Health Services (MBHS) in this proposal will ameliorate mental health/substance abuse issues (Problem Prevention Self-Sufficiency Goal) by providing mental health/substance abuse counseling and treatment; peer support; psychiatric medication management; along with professional case management. MBHS meets the Adults and Families Life Continuum Category by providing behavioral health services to Caritas clients who are receiving basic needs, housing support, employment, and refugee resettlement services.

B. Target Populations for the Goals.

1. Describe the target populations that will be served and if this population is similar to/different from current service population.

The target population served by MBHS is the same that Caritas has served for 50 years: low-income households, homeless or at risk of homelessness, with mental and/or substance abuse illnesses. The 2012 Austin/Travis County Community Health Assessment (CHA) reported the need for mental health services was the foremost health concern raised by residents. Mental health was considered a pressing concern by focus group/interview participants and cited an overwhelming lack of resources for people with mental illnesses, including a shortage of psychiatrists & mental health facilities. The CHA reported that insufficient resources resulted in long waiting lists and the mental health system was described as “crisis driven.” The CHA stated that improved coordination of care was needed to address challenges, including

transportation to primary care & supportive housing. On 7/13/12, CHA findings were presented to One Voice Central Texas and the City of Austin.

2. Provide data & sources to demonstrate the need of the target populations for the strategies being proposed.

According to the 2012 Travis County Behavioral Health Impact Report, a national SAMHSA survey on mental illness found that 20% of Texans over age 18 suffer from a diagnosable mental disorder, with 4% suffering from a serious mental illness (bipolar/ schizophrenia/major depression). 20% of Travis County adults reported poor mental health between 2008 & 2010. Travis County had a 33% increase in psychiatric hospitalizations from 2008 to 2010. The report also states that the Travis County public hospital system does not have the capacity to meet these psychiatric needs. Unlike other urban counties in Texas, Travis County has no psychiatric emergency room nor any kind of crisis stabilization unit connected to any major area hospital emergency departments. CARITAS' NEED: MBHS clients will be existing Caritas clients. The primary MBHS client group will be people living in Caritas Permanent Supportive Housing (PSH) with documentation of homelessness and a disability. According to HMIS (Homelessness Management Information System) trend data of Caritas' PSH population: 100% are homeless; 60% have documented mental and/or substance abuse issues; 42% have at least two documented disabilities; and 17% are victims of domestic violence.

3. Describe the strategies that will be implemented to serve clients with criminal history.

Caritas does not discriminate in service delivery to people with a criminal history. In fact, all services are aimed at housing the most vulnerable, including those with barriers such as criminal history. Caritas established the Partnership in Housing (PIH) program with Downtown Austin

Community Court (DACC) specifically to provide supportive housing to clients with a criminal history. Caritas will prioritize Adults and Families and; Seniors/Persons with Disabilities.

4. Describe how the Client Eligibility Requirements will be documented.

MBHS services will be offered to existing Caritas clients – individuals and families in poverty who need housing assistance while working to become self-sufficient. Caritas' standardized documentation practices are consistent with the City Social Services funding requirement.

PSH clients must meet the following to be eligible for supportive housing and MBHS services:

- Meet homeless definition (according to US Dept of Housing/Urban Development (HUD))
- Have a documented disability
- Provide proof of identity (proof of residency is waived for homeless)

Other Caritas clients must meet the following to be eligible for housing services and MBHS:

All applicable program and funding eligibility requirements, including, but not limited to:

- Meet at-risk or homeless definition (according to HUD)
- 200 % of Federal Poverty Level (FPL) or below
- Financial crisis that puts housing at risk or led to loss of housing
- Be a resident of Austin or Travis County
- Provide proof of identity

In addition, all clients must sign: a Caritas Release of Information (ROI); a program agreement, and HMIS ROI (optional). All documentation is entered in HMIS and maintained in client files.

5. Describe how the agency will ensure all 4 of the following CLAS Standards are in place to ensure cultural/language differences are not a barrier to services.

Caritas is committed to and has extensive experience providing culturally sensitive social services utilizing a variety of languages. For more than 35 years, Caritas has operated a refugee

resettlement program and has resettled over 13,000 refugees, 450 annually. Caritas staff is provided diversity and cultural sensitivity trainings. Many of the staff were born outside the U.S. and 15 languages (including American Sign Language) are spoken among staff. Caritas can also pay for interpreters and translation services for clients and will do so for MBHS services, if needed. Caritas utilizes Limited English Proficiency (LEP) policy, which is designed in accordance with Title VI of the Office of Civil Rights Act. Caritas takes steps to ensure persons with LEP have meaningful access/equal opportunity to participate in services and programs.

C. Program Strategy to Accomplish the Goals.

1. Describe the program strategy/strategies.

The MBHS program strategies will provide the target population with comprehensive mental/behavioral health supports. The strategies Caritas will use are:

- (a) Ensure easy and seamless access to preventative and intervention mental health services;
- (b) Utilize network of providers to obtain/maintain mental behavioral service delivery in a cost-effective manner addressing behavioral health issues including relapse, homelessness, and crime;
- (c) Invest in ongoing trainings for case managers in psychosocial, mental behavioral health science skills, advanced motivational interviewing (MI), recovery focused case management, trauma-informed care, etc.;
- (d) Utilize Critical Time Intervention (CTI) case management model focused on prevention, designed specifically for the chronically homeless with mental health diagnoses,
- (e) Provide additional support through a Certified Peer Support Specialist, and
- (f) Conduct Data Driven Program Evaluation by analyzing HMIS data/outcome measures to make improvements.

2. Describe how the proposed strategies reflect evidence-based, research-based, or promising practices.

The MBHS program brings together evidenced-based practices to offer a continuum of mental/behavioral health services based on client need. The following strategies are evidenced-based practices and chosen due to preventative, positive and proven outcomes for the target population: adults, families, seniors and those with disabilities who are or have been homeless, with mental and/or substance abuse issues. The foundation for the MBHS program is the recovery focused case management model, Critical Time Intervention (CTI). CTI is an evidence-based case management model designed to prevent recurrent homelessness and other adverse outcomes among persons with severe mental illness. The key methodology of CTI is linking vulnerable individuals to support services in a community setting to reintegrate them into society. Caritas proposes these services include a team of case managers, certified peer support specialists, and the mental/behavioral support services of a clinical supervisor and therapist to meet the fidelity of the CTI model. Caritas case managers have extensive training in CTI at the onset of the MBHS program. Together, this team provides a continuum of services to prevent the re-institutionalization of clients, prevention of relapse in the case of substance abuse, and opportunities for social engagement and employment. This proposal includes a strong on-going training component on evidence-based practices in order to ensure staff have the tools and skill sets to serve the target population. Motivational Interviewing (MI) is an evidence-based practice with a client centered and goal directed technique used in case management to gain behavioral change. MI has been applied to behavioral problems related to alcohol and substance abuse as well as health promotion, medical treatment adherence, and mental health issues. This technique encourages the client's self-efficacy for change and develops a client action plan. Trauma

Informed Care (TIC) is an evidenced-based practice that helps case managers provide care, recognize triggers and vulnerabilities, and work more effectively with trauma survivors. Lastly, Certified Peer Support Specialist is an evidence-based practice which helps utilize a mental health and or substance abuse with the assistance from someone who has experienced mental illness and/or substance abuse and recovery to help people in recovery.

2.a. For evidence-based or researched-based programs, provide a description of the evidence used, including sources, and method for ensuring model fidelity.

Critical Time Intervention (CTI) – The website at www.evidencebasedprograms.org cites two well-conducted random controlled trials for individuals with mental illness. These trials evaluated CTI in New York City, a setting with high-quality community services available for individuals facing homelessness. The following summarizes the program's main outcomes measured in each study, including outcomes for which no or adverse effects were found:

- There was a sizable reduction (24 – 67%) in the average number of nights spent homeless,
- Greater than 60% reduction in likelihood of homelessness at 18 month follow-up or 9 months after intervention, and
- 24% reduction in nights spent in psychiatric hospital, resulting in \$24,000 health care cost savings per person.

Caritas will meet model fidelity by ensuring clinical supervisor, therapist and case managers hold bachelors or masters degrees. Peer support specialists will be certified.

Motivational Interviewing (MI) – Research on MI has examined its effectiveness in reducing substance use and improving treatment engagement and adherence. A random, control group study (Martino et al., 2000) of people with co-occurring disorders admitted to a treatment program found that participants who received a single session of MI upon admission were more

likely to participate in treatment and to stay in the program longer than those who received the standard interview technique. (*The SAMHSA National, Gains Center, January 2011*).

Model fidelity will be established utilizing the four guiding principles for MI:

- (1) express empathy, (2) develop discrepancy, (3) expect and roll with resistance, and
- (4) support self-efficacy.

Certified Peer Support Specialist (CPSS) - There is significant evidence to support the efficacy of CPSS with this target population as published in several credible journals including *Annals of Family Medicine*, *Family Practice*, *Patient Education and Counseling*, and *International Journal of Psychosocial Rehabilitation*. A randomized study of a mental health peer education and support group in the Veterans Administration used these three groups: a recovery-oriented peer-led group (Vet-to-Vet), a clinician-led recovery group, and usual treatment. The sample included 240 veterans. Recovery and mental health assessments were obtained at enrollment and three months later. Across groups, depression and functioning, psychotic symptoms, and overall mental health improved significantly with the peer-led group.

(*Journal of Affective Disorders; December 2012*)

3. Describe how the program strategies align with the goals outlined in Section 0500 –

Scope of Work: Section 3 – Principal Objective and Goals.

With “Adults and Families,” MBHS aligns with the behavioral health goal by linking diverse client populations to agencies/professionals specializing in the provision of mental /physical health services. MBHS specifically addresses self-sufficiency goals for the target populations of “Adults and Families” and “Seniors and Persons with Disabilities.” In the past two years, clients have been connected with experienced and qualified therapists, in-patient and outpatient treatment centers, transportation to facilitate attendance, and trainings to increase self-efficacy.

Moving forward, the MBHS program will begin to implement Certified Peer Support Specialists (CPSS) to work individually with clients relating to their mental health and substance abuse. The importance of these services is that support is provided by individuals with shared experience of the disabling power of mental illness and/or substance abuse. Focusing on the population of “Seniors and Persons with Disabilities,” MBHS directly corresponds with the outlined self-sufficiency goals through the provision of a continuum of mental/behavioral health services. Clients eligible for MBHS will already be working with a Caritas case manager on goals such as accessing affordable housing, transportation needs, employment and education. MBHS strengthens existing CTI case management by filling in the gaps and offering wrap around services that focus on the cognitive/mental/behavioral health of all clients such as substance abuse, anxiety, suicide prevention and depression. The CPSS will provide a unique role and perspective when working with clients on recovery goals. The CPSS and client will work together to locate opportunities for life fulfillment including social activities, volunteer work and recreational engagement.

4. Describe how the program strategies correspond to Imagine Austin.

The totality of MBHS program strategies are preventative services. MBHS and Imagine Austin’s Vision statement align where it cites “Austin is a beacon...where diversity and creativity are celebrated” because it is through recovery focused case management, quality mental health services and relapse prevention where healing begins. As recovery strengthens and the person starts to mend and become whole again they can begin transitioning back into the community. A person walking in recovery will need a community that appreciates, embraces differences, and values diversity as strength. This recovery need aligns with the mission statement “Austin

Values and Respects its People,” specifically the portion of the statement which states, “and where we have the opportunity to fully participate and fulfill our potential.”

5. Describe barriers/challenges the target population may encounter accessing services and how these barriers will be mitigated.

When working with “adults and families” or “seniors and persons with disabilities,” barriers most often arise from the clients’ long history of homelessness, mental illness, or trauma. These populations struggle to remain engaged in services after experiencing a lifetime of neglect which has shaped how they respond to outreach. Ensuring that all staff are providing “trauma-informed care,” and are trained with client centered CTI methods and strengths-based approaches can mitigate negative responses to treatment. These populations additionally struggle from limited transportation options. Depending on client location, transportation may take over an hour using public transportation: something which may be unbearable for a client experiencing mental illness or physical disability. Maintaining a budget for transportation assistance eases the challenge of physically accessing services.

6. Describe how the proposed strategies will be implemented to successfully reach individuals in multiple Life Continuum categories.

MBHS will be offered to current Caritas clients. Caritas serves populations across all the Life Continuum. “Adults and Families” and “Seniors and Persons with Disabilities” will automatically be reached and services will be made available without prejudice. Case managers will continue to work directly with clients and collaborate with the interdisciplinary team to identify individuals who might benefit from mental and behavioral interventions. Through relationships and MOUs with service providers, the referral process has been streamlined to allow Caritas clients to quickly gain access services.

7. Describe barriers/challenges you may encounter implementing the proposed strategies and how you will overcome them.

Based on years of experience implementing a variety of similar successful programs within Caritas, we do not anticipate any significant barriers as this is an established program of two years. The proposal is focused on program growth. Staff is managing service delivery to current and new clients. The challenge is that Caritas will be transitioning from utilizing GAF (Global Assessment of Functioning) to the SSOM (Self-Sufficiency Outcomes Matrix). This will involve ECHO (Ending Community Homelessness Coalition) adding the SSOM in HMIS so that it can more accurately measure self-sufficiency scores. To mitigate the challenge, Caritas staff has already begun working with ECHO to pilot the changes prior to new grant funding.

8. Describe subcontractor partnerships/informal relationships with service providers not funded under this application. Describe how they are necessary and/or appropriate for the strategies proposed.

Subcontractor partnerships have been established with:

- Foundation Communities: Have agreement to lease units to house PSH clients; clients can access resident supportive services such as food pantry, financial literacy classes
- Linda Valseca MA.,LPC.,LCDC: Individual, client-centered therapy; clinical supervisor for CTI staff; and provides mental health/substance abuse training for staff
- Psychiatric Nurse: Individual treatment planning surrounding medication management, symptoms and side effects, and health literacy for clients
- Samaritan Counseling Center: Nonprofit providing individual, client-centered therapy

Informal relationships included, but are not limited to, are:

Austin Recovery: In-patient and out-patient substance abuse treatment center; Texas Star: In-patient and out-patient substance abuse treatment center for individuals experiencing co-occurring substance abuse and severe mental illness; Developmental Counseling: Out-patient treatment center; Austin Center for Therapy and Assessment: individual, client centered therapy; Austin Travis County Integral Care (ATCIC): services for mental and behavioral health needs; Center for Survivors of Torture: specialized individual and family therapy for survivors of torture; OSAR (Outreach, Screening & Assessment Referral). These partnerships and relationships are appropriate because they are local, community agencies dealing with the target population served by MBHS.

9. Describe the project activities.

A) Case Management – Clients meet regularly with a Case Manager to develop and work on an Individual Service Plan (ISP) for obtaining the highest level of self-sufficiency.

B) Screening and Assessment – Clients are screened for eligibility for MBHS services at intake. Case Managers trained in mental health issues will assess clients' need for MBHS services as it relates to their ISP; clients may also self-report the need for services.

C) Intake and Service Recommendation – Case Managers send a referral for services to the mental health professional. The professional will meet with and assess the client to make a recommendation for continuation of services.

D) Supportive Services – Supportive Mental and Behavioral Health Services are maintained in accordance with the Critical Time Intervention method of case management. Wrap around supportive services include an LPC/LCDC, Certified Peer Recovery Specialist, psychiatric nurse, inpatient and outpatient treatment centers and intensive case management.

E) Self-Sufficiency – Each client's ISP is designed to lead to self-sufficiency. Meeting the goals of the ISP is the measurement for self-sufficiency.

F) Program/Fiscal Oversight – Caritas has key staff to oversee the program: the Executive Director, CFO, Housing Services Director, and Program Coordinators/Program Managers. Staff monitors all expenditures, generates financial/program reports, while ensuring that clients do not receive duplicate services and client spending limits are met.

G) Program Monitoring and Reporting – Caritas management regularly reviews each program's performance and monitors HMIS data completeness/quality.

10. Describe how your organization will adhere to the CoA HHSD Homeless Housing Habitability Standards.

Case managers complete an inspection of each unit where individuals are to be housed using a property inspection worksheet. These inspections ensure units comply with the City of Austin HHSD Homeless Housing Habitability Standards. All units are inspected at program entry and at least annually thereafter. Inspection records are kept in the client file.

D. Performance Measures – Impact on the Goals. 1. Describe how the Applicant will calculate the required and any other proposed outputs and outcomes.

Caritas utilizes a variety of methods to assess program efficacy. A benefit Caritas has in evaluating programs is HMIS. All clients have their demographic information entered into HMIS upon program entry. This information includes disability/homelessness status, income information, household information, and lists services provided to clients, including MBHS. Any number of reports can be designed to display changes in client status or progress on client goals. Output measures will include the required unduplicated client counts and outcome measures

selected align closely with Caritas' goals to assist individuals, families and those with disabilities or other barriers to self-sufficiency.

OUTPUTS

Output #1: Number of unduplicated clients served per 12-month contract period.

This required output will be measured by counting any client who received MBHS service(s) as an unduplicated client. Clients continuing services from quarter 4 of the previous grant year will be carried over and counted as unduplicated in quarter 1 of the new grant year.

Output #2: Number of unduplicated clients served during initial 36-month contract

period. This required output will be measured by counting any client who received MBHS service(s) during the 36-month contract period as one unduplicated client. Clients continuing services from quarter 4 of the previous grant year will be carried over and counted as unduplicated in quarter 1 of the new grant year. Numbers will be tracked through HMIS.

OUTCOMES

Outcome Measure Addressing # 3: % of individuals who make progress toward

treatment plan goals. The annual goal is for 75% of clients in mental health/substance abuse treatment to have a decrease in their total "General Disability Score" when compared to baseline. This outcome is measured utilizing The World Health Organization Disability Assessment Schedule 2.0 (WHODAS). This assessment tool was developed through a collaborative international process. It is considered a reliable tool in assessing overall health status/disability across a variety of cultures/situations. The WHODAS 2.0 analyzes the impact of mental/physical health conditions on daily life. It provides a "General Disability Score" out of a total of 180 as well as scores within individual categories of well-being. The WHODAS will be administered within 30 days of entry to provide a baseline, then quarterly and at exit.

Scores will be entered in HMIS. Treatment program performance will be measured by the number of clients whose scores increased or stayed the same relative to the baseline, divided by total number of clients with a baseline WHODAS.

Outcome Measure Addressing #5: % of individuals who demonstrate improved life skills and/or knowledge. This outcome will apply to clients receiving any other MBHS services (transportation, certified peer support specialist, translation services, etc.). The Self-Sufficiency Outcome Matrix (SSOM) will be completed in HMIS and is designed to rate a client's progress in gaining/maintaining self-sufficiency skills. Clients will be assessed at intake for baseline, then monthly and at exit. The annual program performance goal will be an increase in overall SSOM self-sufficiency score. This will be measured by number of clients with an increase or stable SSOM score from baseline, divided by total number of clients with a baseline SSOM score.

E. Service Coordination.

1. Describe how the Applicant coordinates services with services provided by other agencies in order to minimize duplication & maximize access to services.

Caritas has a process for coordinating services with other local agencies in order to minimize duplication. This process involves ongoing, active engagement in ECHO work groups throughout the community, in which a continuum of care has been established to avoid duplication, as well as screening on the individual level utilizing HMIS. Caritas staff screen clients at intake for current enrollment in social services as well as previous use. Clients who do not meet eligibility requirements are referred to other service providers or to United Way (2-1-1). Caritas staff maintains open communication with referral sources to triage high need clients and locate other applicable agencies, if needed. Coordination with Foundation Communities and

their associated programs including resident services and SAMHSA enables Caritas supportive housing clients to access funds and services in areas not covered by Caritas programs.

2. Describe how the Applicant coordinates with other agencies.

Caritas staff has performed extensive outreach to specialized agencies to meet the mental/behavioral health needs of clients. Direct referral relationships have been formed with in/out-patient substance abuse treatment centers, therapist and holistic care facilities. Caritas has organized meetings with Austin Travis County Integral Care (ATCIC) to streamline the referral process and identify gaps in services. Caritas maintains involvement with ECHO in the plans for city-wide Coordinated Assessment. Use of a centralized coordinated assessment will allow for eligible clients to be referred only to programs they are qualified. Furthermore, service providers will be able to track the services utilized by clients to ensure they are connecting to relevant resources without duplication.

3. Attach program Memoranda of Understanding (MOU) and explain how this arrangement improves service delivery. *See attachment for MOUs/Letters of Intent.*

MOUs and Letters of Intent, to enter into a MOU, have been obtained from many area service providers (see required attachments). These MOU's and Letters of Intent define what services are to be provided to MBHS program participants. A written agreement between parties ensures that clients are granted every service opportunity relevant to treatment goals, without risk of overreaching into services which may not be covered by MBHS. MOUs also streamline and expedite client services by outlining the referral and payment process. Providers who enter into a clearly defined relationship with Caritas have the added assurance that they have a liaison in the case manager who can assist with coordination of services for clients.

4. Describe how clients will be connected to mainstream resources/public benefits and/or other City-funded services in order to maximize self-sufficiency.

As part of a client's treatment plan and self-sufficiency goal, they work with case managers to develop a plan to obtain public benefits and increase their income (earned or unearned). Case managers can utilize the on-line resource, YourTexasBenefits, or can provide transportation to offices to apply for SNAP, Medicaid or SSI/SSDI. Staff trained to use SOAR can submit an SSI/SSDI application for an expedited response to benefits or link clients to local contacts specializing in SSI/SSDI applications. Eligible clients are connected to MAP for medical care.

5. Describe additional services, not included in this application, which will be provided to the target population and how they will access those services.

Caritas provides clients experiencing poverty with a service continuum beginning with a safety net and linking them to resources to achieve self-sufficiency. This includes help with basic needs and supportive services such as: one-time rent or utility payments; one-time or short-term mortgage payments; rental and/or utility deposits; move-in expenses; rent and utility subsidies; intensive case management; housing location services; referral for mediation/legal services; food assistance and employment assistance; plus education classes focusing on financial stability/life skills. In offering these services, Caritas seeks to prevent homelessness and decreasing the demand on homeless shelters.

6. Describe how your organization participated in planning for Coordinated Assessment and how your organization will coordinate/collaborate with this initiative.

Caritas' Executive Director Jo Kathryn Quinn and the Housing Services Director Lori Frasco both serve on ECHO's Coordinated Assessment Steering Committee. All program directors, program managers, grants/data collection staff, and BSS+ coordinators participate in ECHO

work/task groups including those planning Coordinated Assessment. Caritas case managers and screening/assessment specialists attended training and took part in ECHO's 1st pilot of Coordinated Assessment in Fall 2013 – testing the intake and SSOM (Self Sufficiency Outcome Matrix) assessment forms with 45 clients. In April 2014, Caritas took part in the 2nd pilot – testing the intake and VI- SPDAT (Vulnerability Index- Service Prioritization Decision Assistance Tool) assessment with 40 clients. Throughout the funding period, Caritas will provide feedback to ECHO as it works collaboratively with the pilot agencies. The Coordinated Assessment Steering Committee determined that multiple but limited points of entry with trained assessment specialists will work best in Austin/Travis County. Caritas is a proposed point of entry and is a part of Phase I (March – September 2014) and Phase II (begins October 2014).

F. Community Planning Activities.

1. Describe Applicant's involvement in community planning specific to services proposed.

Caritas has an established community presence and participates in several community planning activities geared specifically to improve/coordinate Mental and Behavioral Health Services for clients. Staff members with direct client contact attend: bimonthly in-service trainings with a licensed LPC LCDC, monthly Social Services Case Management Network meetings through Goodwill, and Community Resource Coordination Group to coordinate services to clients with mental, physical and substance abuse issues. Staff meet weekly with a licensed LPC LCDC to directly facilitate client care as well as meet with Foundation Communities Resident Services to coordinate assistance through SAMHSA. Caritas' Integrated Services staff attend quarterly meetings with community refugee services providers such as Project Access, the Texas Office of Immigration and Refugee Affairs, and the City of Austin Refugee Clinic. The Integrated Services Program Director is a board member of Disability Rights Texas, the designated federal

Protection and advocacy agency for people with disabilities in Texas. Also, 63 staff members are certified in Mental Health First Aid, a SAMHSA-endorsed, evidence-based best practice.

2. Describe Applicant's involvement in any other relevant community planning activities.

Caritas' is significantly involved in the homeless/housing service work groups/committees that relate to the Austin/Travis County Continuum of Care. Caritas is a member of ECHO – a local collaboration of homeless service providers, interested organizations and individuals that provides leadership and engages policymakers/the community in ending homelessness. Caritas Grant Manager, David Nobles, is also a chair member on the ECHO HMIS Workgroup. An essential component of ending homelessness is to address the mental/behavioral health needs of the MBHS target population. Caritas is also active on several other planning bodies which focus on problem prevention and universal support services including:

- *Keep Austin Housed*: AmeriCorps program focuses on housing stability and employment
- *One Voice Central Texas*: health & human services best practices in nonprofit leadership
- *SAMHSA, NAMI, ATCIC*: trainings, planning on mental illness and substance abuse issues
- *Texas Office of Immigration & Refugee Affairs and Project Access*: refugee services share and work on best practices; resources for physical and mental health services
- *Disability Rights Texas Board Membership*: protection for individuals with disabilities
- *Austin Energy Consumer Committees*: plan discounts and payment plans for low-income
- *CAN (Community Advancement Network)*: leverages community resources for change
- *Austin/Travis County Reentry Roundtable*: advocacy for inmates/former inmates
- *Downtown Austin Alliance*: planning citizen safety; helps the homeless, social services
- *Rosewood Choice Initiative & Restore Rundberg*: planning for East Austin housing
- *BSS+ Collaborative Meetings*: plans for serving the homeless or at-risk of homelessness

- *JSC School & Family Work Group*: plan to create stable communities for students
- *Texas Homeless Network*: work to support groups who prevent and end homelessness

G. Overall Evaluation Factors Regarding Applicant.

1. Describe the Applicant's experience within the last 5 years managing relevant local/state/federal contracts and include the contact information of the funder for the contracts identified.

See attachment: Funder Contact Information and Associated Grant Information. Over the past 5 years, Caritas administered over \$27.9 million in federal and local government contracts. This amount includes over \$3.1 million in City dollars. Services provided includes: homelessness prevention/rapid rehousing/intensive case management (ARRA-HPRP, Community Support Program, Best Single Source/Best Single Source +); permanent supportive/transitional housing; mental health/substance abuse counseling/treatment; resettlement of documented refugees; employment services; food; etc. FEDERAL CONTRACTS: Over the past 5 fiscal years, Caritas administered \$19.7 million in federal contracts. The average annual expenditure of federal funds was \$3.9 million. TRAVIS COUNTY CONTRACTS: Over the past 5 fiscal years, Caritas administered over \$1.28 million in Travis County contracts.

a. The Applicant must describe any relevant City of Austin Health and HHSD funding received within the last 5 years.

See attachment: Funder Contact Information and Associated Grant Information. Over the past 5 fiscal years, Caritas administered over 6.9 million in City contracts. Caritas is currently implementing MBHS. This document is a proposal to renew and expand the program services.

2. Describe experience within the last 5 years working with the target populations proposed in this Application.

Since 2006, Caritas has been serving the primary MBHS population: chronically homeless, disabled people through permanent supportive housing. For 50 years, Caritas served the other populations targeted by MBHS: people experiencing recent homelessness, working poor families, documented refugees, and those at-risk of losing housing.

3. Describe experience within the last 5 years providing services identical and/or similar to those proposed in this application.

Since 1964, Caritas has resettled documented refugees fleeing persecution. Since the early 1970s Caritas has provided basic needs and case management services to the homeless and working poor. Since 2006, Caritas has provided permanent supportive housing for chronically homeless, disabled people. Across all these populations, Caritas has provided mental and behavioral health services using unrestricted dollars, when available. Caritas also works with other organizations (ATCIC, Center for the Survivors of Torture, etc.) to provide mental health care for clients.

H. Data Management/Program Evaluation.

1. Describe past successes/challenges with data management/reporting, including past experience utilizing an electronic data system.

As a participant in HMIS since its inception in 1998, Caritas has significantly expanded its HMIS data entry to ensure data quality among programs, including MBHS, BSS+, SSVF, HUD-funded programs, Employment Programs, documented Refugee Resettlement Programs, and the Food Pantry. They utilize HMIS to track client outcomes/report program performance.

Collecting and analyzing all program data in HMIS facilitates service delivery, decreases the likelihood of service duplication, and supports expert program performance evaluation. Caritas has been able to successfully and smoothly track accurate client information in regards to basic identifying information, eligibility, service transactions, and case manager notes.

2. Describe how data are used for identifying problems in strategies, service delivery and expenditures, steps to determine corrective actions, and how the Applicant will ensure corrective actions will be effective.

One of the strengths of MBHS has been its program evaluation component. Since the beginning, MBHS has utilized HMIS to collect and evaluate program data. Since HMIS is a shared database, real-time data about the program and about clients specifically is accessible. This has allowed issues regarding program implementation, data entry/tracking, achievement of outputs/outcomes, and general program challenges to be shared effectively with program management. Through ongoing monitoring, monthly/quarterly reporting, and program supervision, Caritas can identify if MBHS is meeting its benchmarks. When challenges/problems are identified, management staff meet to problem-solve and make program modifications.

3. Describe the process used to collect data from collaborations. *Not applicable.*

4. Explain how your organization will comply with HMIS Reporting Requirements and utilize HMIS to track/report client information.

Caritas is an active HMIS participating agency under the direction of ECHO and receives ongoing HMIS training. MBHS is required to meet HMIS Data Entry and Reporting Requirements. The Data Completeness Report Card current contract period 4/1/12-3/31/14 is above 95% or “Excellent” rating. Caritas has been compliant with City HMIS requirements since they were first implemented in April 2012 and is involved in the Coordinated Assessment plan.

I. Staffing Plan.

1. Describe staffing plan to accomplish activities including project leadership/reporting. Provide justification which indicates staffing plan is appropriate for proposed strategy.

See attachment Section 0645 – Program Staff Positions and Time and Position Descriptions.

MBHS will be supervised by the Director of Housing Services. Together with the Grants/Contracts Manager, they will assure that the program meets client needs, that performance is met, and that HMIS data/reporting is timeless and accurate. The staffing plan includes a portion of the 8 PSH case managers' time. Approximately 90% of the MBHS clients will be case managed by these staff. Additionally, they will coordinate MBHS services for clients. The Certified Peer Support Specialist is the only full-time staff for this project. They will work with all MBHS clients. Other program staff, Psychiatric Nurse and Professional Counselor(s), will be subcontractors. The Accounting Assistant, Accounting Manager, HR Coordinator, CFO, and IT Specialist provide administrative/fiscal support to the program, including paying vendors, payroll, HR services, etc. Program staffing is based on the evidence-based practices cited in this proposal and is appropriate for the services to be provided. Administrative staffing is minimal and covers only basic overhead costs.

2. Using Section 0645, list the project staff by title and the % of each position's time to be spent on the program. *See attached.*

3. Attach resumes/position descriptions for key staff to perform services. *See attached.*

Part II – Cost Effectiveness. A. Budget.

1. A summary description of budget justification for required program strategy/strategies. *See attached.*

2. Describe the Applicant's fundraising and admin %, calculated from its most recent Form 990. Caritas' fundraising & administrative percentage is 7.6%.

Part IX, Line 25, Column C = \$318,243. Part IX, Line 25, Column D = \$463,041.

The sum of these amounts is \$781,284. Part VIII, Line 12, Column A = \$10,308,597.

$\$781,284 \text{ divided by } \$10,308,597 = 0.0758$

B. Cost per Client.

1. Describe the average cost per City client served and detail the calculation used.

The average cost per client served is \$5,083.

Calculation: Total request amount *divided by* number of unduplicated clients to be served. This average is the most basic method of ensuring that services provided are reasonable in cost. For MBHS, the major cost driver is the cost of in-/out-patient treatment, which is \$14,500 per client. MBHS funds will provide treatment for 4 clients. This cost is 16% of the total budget.

2. If applicable, describe the average cost per client served from all funding sources.

The City will provide 100% of MBHS funding.

3. Describe the average cost per client achieving each of the performance measures proposed. In the description, detail the calculation used to derive the average cost.

MBHS proposes to serve at least 60 unduplicated clients per year. It is projected that all 60 clients will see the professional counselor an average of twice per month. Calculation: The average cost for 1 client to see the counselor twice per month for 1 year is \$1,820. Calculation: 1 client *times* 26 sessions per year *times* \$70 per session = \$1,820. Therefore, 60 clients *times* 26 counseling sessions per year *times* \$70 per session = \$109,200, which is the amount budgeted for mental health counseling. This budgeted ensures that at minimum the output targets will be met.

4. Provide justification which indicates the proposed cost is appropriate for the proposed strategy/strategies.

Two services provided by MBHS are the major cost drivers of the program. Those services are in-/out-patient rehabilitation and professional substance abuse/mental health counseling.

Treatment averages approximately \$12,500 for 30 days of service. Repeated attempts to

negotiate lower prices with vendors has not resulted in cost savings. However, successful negotiations have resulted in lower costs of professional mental health/substance abuse counseling from a market rate of \$100+ per hour down to \$70 per hour. This amount is a 30% cost savings. Additionally, the amount of staff time involved in MBHS is minimal. The Caritas staffing budget is only 3% of eight case managers' time. This is the estimated time required to coordinate MBHS services and to ensure data completeness/quality in HMIS. General operating costs are also minimal and cover proportionately small amounts of Caritas' cost of doing business (utilities, audit costs, HR, cutting checks, building security, etc.).

5. Describe the return on investment/social impact the proposed strategy/strategies will make. Persons with untreated mental illness/substance use issues are much more likely to access emergency health services and the criminal justice system. MBHS services will specifically reduce the # of preventable emergency room visits; reduce the # of hospital admissions that are preventable; greatly enhance the ability of Caritas clients to meet case management goals and move toward self-sufficiency; and will reduce the # of hospital, emergency room, and emergency psychiatric emergency services that are preventable. In an article published , July 5, 2012, on psychiatryonline.org, it was reported that schizophrenia treatment is \$8509 for 11 days and bi-polar treatment for 9.5 days is \$7593. If 50% of the MBHS projected clients to be served returned to a psychiatric hospital for services – it would cost \$255,270. Additionally, This is supported by data from the 2012 Travis County Behavioral Health Community Impact Report: lack of sufficient services for individuals with behavioral health issues and substance abuse issues results in increases in homelessness, incarceration costs, inappropriate emergency room use, and demand for very limited state hospital beds. Law enforcement and mental health officials report that insufficient funding also extends law enforcement travel time and increases

costs to transport patients who are in mental health crisis. Scott Keyes, reported on thinkprogress.org, “the data was collected by Impact Homelessness, an advocacy group in central Florida. The organization identified 37 homeless people in Osceola County who were collectively arrested 1,250 times between 2004 and 2013 at a cost of \$104 per booking. During that time, these people spent 61,896 days incarcerated at an average cost of \$80 per day. Altogether, Osceola County communities spent \$5,081,680 over the past decade to repeatedly jail just 37 homeless people.” Caritas of Austin can provide PSH housing, case management, and MBHS services for an individual at the cost of \$13,160 annually which works out to be \$36 a day.

C. Program Funding Summary.

1. Using Section 0655, provide an overview of all funding sources the Applicant will use for the proposed project. *See attached.*

Part III – Local Business Presence. 1.Using Section 0605- Local Business Presence Identification Form provide the information requested regarding the Applicant and Subcontractor(s).

See attached.

Part IV – Bonus Evaluation Points. A. Collaborations/Connection to Additional Self-Sufficiency Goal(s) & Life Continuum Category(ies).

1. If applicable, describe how the proposed collaborative will successfully work together to maximize service delivery to the target population(s) OR 2. If applicable, provide information on how the application meets additional self-sufficiency goal(s) and/or Life Continuum category/categories.

Caritas official mission is to provide a service continuum for those experiencing poverty that begins with a safety net, and links them to resources to achieve self-sufficiency. Caritas serves over 20,000 people each year whose opportunities have been diminished by poverty and homelessness. Our clients include households of all sizes; many of whom are veterans, refugees, women and children, and individuals with disabilities. Caritas clients are defined by the Life Continuum categories of “Adults and Families” as well as “Seniors & Persons with Disabilities.” These clients are served throughout the agency all with the common goal of preventing homelessness. This common goals can be further broken into the self-sufficiency goals of “Problem Prevention” and “Universal Support Services.”

Award of this application will provide individuals in need with comprehensive rehabilitative and preventative services. Clients who would otherwise be unable to access services due to financial burden or lack of resources, will now have access to a Licensed Professional Counselor, Licensed Chemical Dependency Counselor, Certified Peer Support Specialist, comprehensive inpatient and outpatient treatment centers, as well as intensive case management. Mental health and substance abuse issues are pervasive throughout an individual's life; providing a client with mental and behavioral support *in addition to* the financial support of Caritas of Austin programs works to maintain long-term stability. Providing these wrap-around

services for the above life continuum categories addresses underlying issues and leads to: reduced criminal and substance abuse recidivism rates, increased opportunities for employment and meaningful engagement, and safe and stable housing. These outcomes are consistent not only with the self-sufficiency goals listed, but with the mission statement of Caritas of Austin.

B. Leveraging.

1. Identify the third party which requires that the Applicant receive City funding for the program in order to be awarded the third-party funds.

Leveraging does not apply to this proposal.

2. Provide the name of the grant, award, or program under which the third-party funds are/will be awarded to the Applicant, the term of the third-party funding, and the amount of third-party funding contingent upon receiving City funding under this solicitation.

Leveraging does not apply to this proposal.

3. Specify the date(s) during which the third party requires that the Applicant to receive City funding in order to be awarded the third-party funds.

Leveraging does not apply to this proposal.

4. Describe the quantified impact on the proposed program if the Applicant does not receive City funding under this solicitation.

Leveraging does not apply to this proposal.

5. Provide documentation that confirms the requirement of City funding in order to receive the third-party funding.

Leveraging does not apply to this proposal.

C. Healthy Service Environment

1. Implementation of one or more of the Healthy Service Environment policies including

the approved/signed policies as an attachment. Tobacco-free Campus: Caritas's Tobacco-free Campus Policy is called "Non-Smoking Policy" (*see attachment*). However, this policy does not fully meet City of Austin requirements. A fully-compliant policy will be implemented prior to 10/01/15. Mother-Friendly Workplace: Caritas's "Mother-Friendly Workplace Policy" is in the draft stage (*see attachment*). A fully-compliant policy will be implemented prior to 10/01/15. Employee Wellness Initiative: Caritas currently offers employees a wellness initiative that includes discounted gym membership and a no-cost Employee Assistance Program (EAP). However, these wellness initiatives do not fully meet City of Austin requirements. A fully-compliant policy will be implemented prior to 10/01/15. Violence Prevention Policy: Caritas's Violence Prevention Policy is titled "Safe Workplace Policy" (*see attachment*). This policy meets City of Austin requirements and is in place.

2. Plans to implement one or more of the Healthy Service Environment policies including the key personnel responsible for ensuring implementation and technical assistance which will be provided to assist the Applicant to implement the selected policy/policies. Caritas's Human Resource (HR) Coordinator drafts all personnel and workplace policies. Draft policies are reviewed by agency Department Directors and by the Executive Director. After this approval, the HR Coordinator submits the draft policy to an attorney or to a HR consulting firm for vetting. The approved, vetted policy is signed by the Executive Director and added to the Caritas Employee Handbook. An email notice is sent to staff that the handbook has been updated. The HR Coordinator also reviews new policies at monthly all-staff meetings and staff sign the updated policy(ies). Technical assistance related to Healthy Service Environment policies will be provided by Austin HR, a human resources consulting firm. The HR Coordinator may contact the City of Austin Health and Human Services Department Chronic Disease Prevention/Control

Program or an attorney specializing in HR issues for technical assistance.

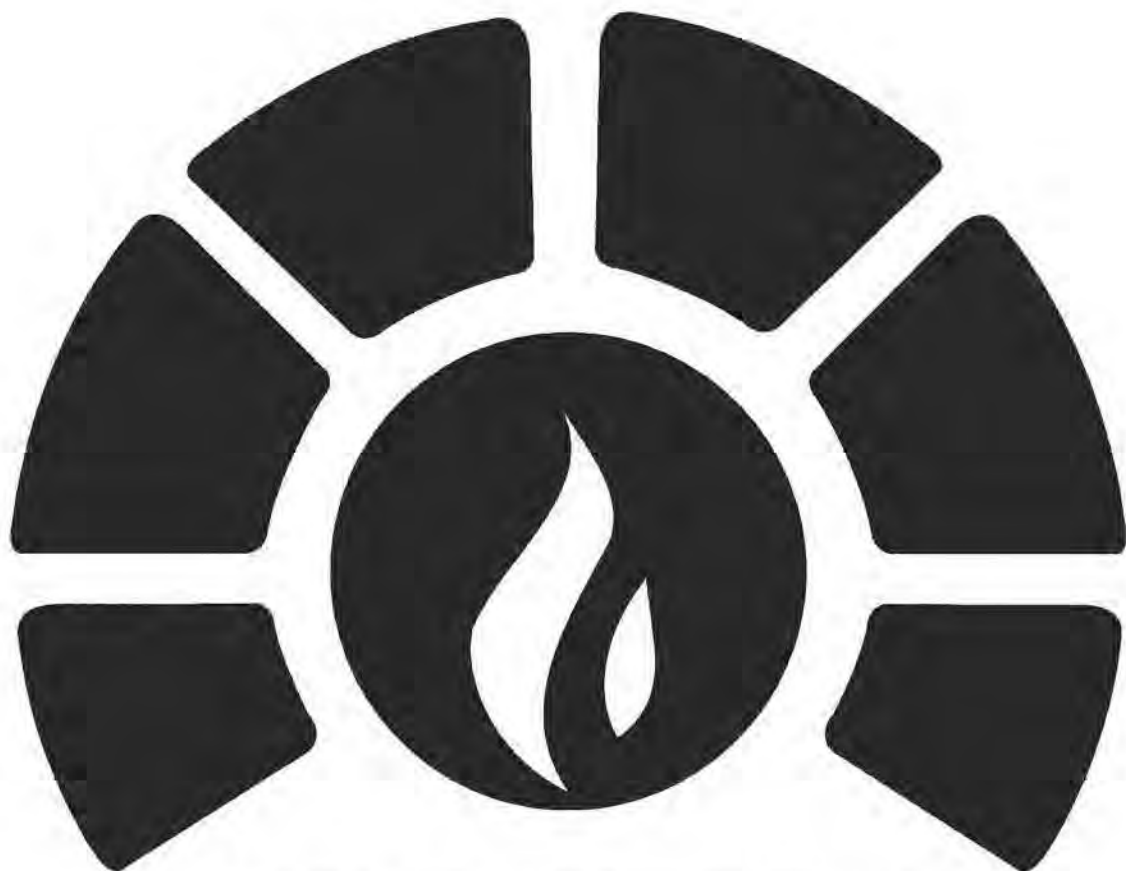
Additional Information. Authorized Negotiator: Jo Kathryn Quinn-Executive Director,

Caritas of Austin, PO Box 1947, Austin, TX 78767 512-646-1252 office/512-466-7080 cell

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

Section 0615—Connection to the Self-Sufficiency Goals and Life Continuum Categories



CARITAS

Section 0615
Connection to Self-Sufficiency Goals
and Life Continuum Categories MBHS

Select the primary Self-Sufficiency Goal and Life Continuum Category that your Application narrative will describe. If applicable, select any secondary Self-Sufficiency Goals and Life Continuum Categories included in your Application narrative.

For a detailed description of the Self-Sufficiency Goals and Life Continuum Categories, see Section 0500: Section 1 – Introduction.

<p>Select only one (1) of the following as the primary Self Sufficiency Goal your Application will address:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Safety Net Infrastructure <input type="checkbox"/> Transition Out of Poverty <input type="checkbox"/> Problem Prevention <input checked="" type="checkbox"/> Universal Support Services <input type="checkbox"/> Enrichment 	<p>Select only one (1) of the following Life Continuum Categories your application will address based on the primary goal selected:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Early Childhood <input type="checkbox"/> Youth <input checked="" type="checkbox"/> Adults and Families <input type="checkbox"/> Seniors & Persons with Disabilities
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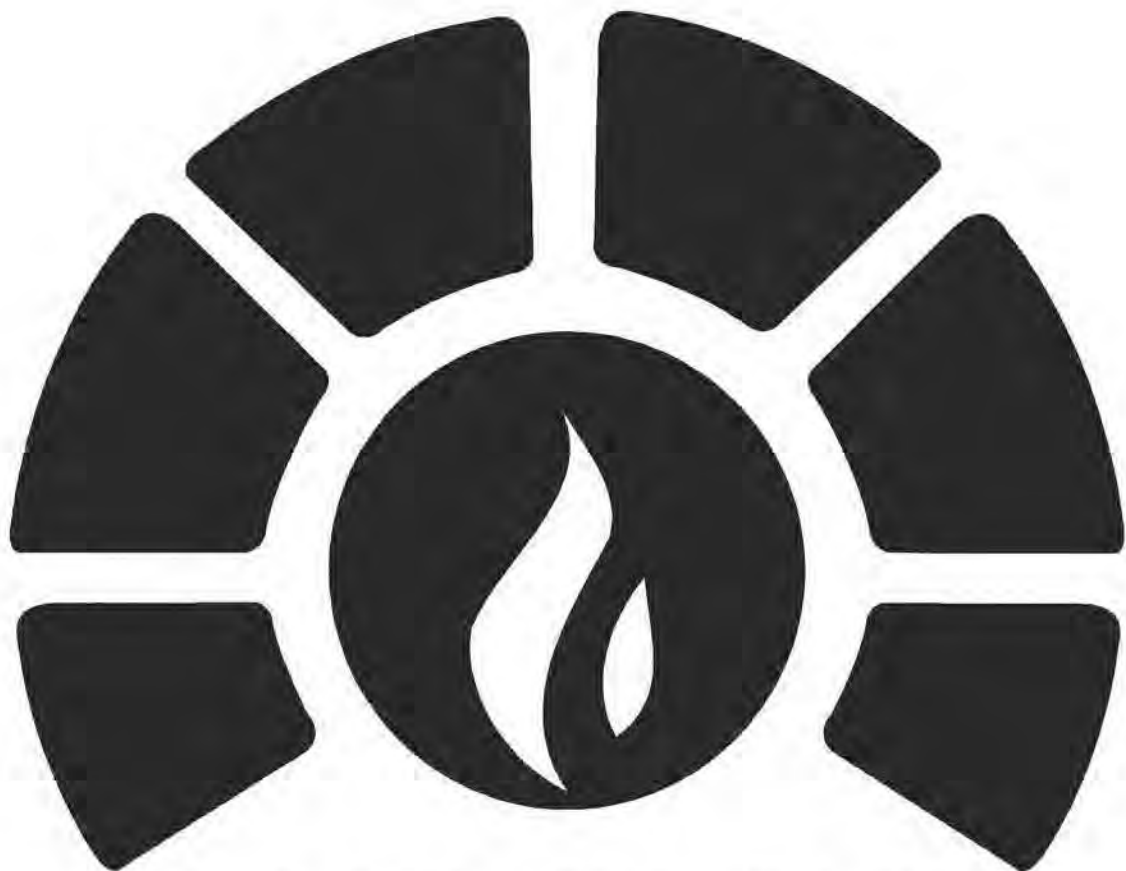
If additional Self-Sufficiency Goals and Life Continuum Categories are addressed by this Application, please identify each goal in the table provided below:

<p>Self-Sufficiency Goals:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Safety Net Infrastructure <input type="checkbox"/> Transition Out of Poverty <input type="checkbox"/> Problem Prevention <input type="checkbox"/> Universal Support Services <input type="checkbox"/> Enrichment 	<p>Life Continuum Categories:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Early Childhood <input type="checkbox"/> Youth <input type="checkbox"/> Adults and Families <input checked="" type="checkbox"/> Seniors & Persons with Disabilities
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Caritas of Austin

Mental and Behavioral Health Services (MBHS)

Section 0640—Performance Measures and Goals



CARITAS

Section 0640

Program Performance Measures and Goals

OUTPUT MEASURES

Provide proposed goal amounts for your program in the City of Austin column, the All Other Funding Sources column and the TOTAL (City + All Other) column.

OUTPUT # 1 (Required)	<u>City of Austin</u> Annual Goal	<u>All Other</u> <u>Funding Sources</u> Annual Goal	<u>TOTAL</u> (City. + All Other) Annual Goal
Number of unduplicated clients served per 12-month contract period	60	0	60

OUTPUT # 2 (Required)	<u>City of Austin</u> Goal	<u>All Other</u> <u>Funding Sources</u> Goal	<u>TOTAL</u> (City + All Other) Goal
Number of unduplicated clients served during the initial 36-month contract period	180	0	180

OUTCOME (RESULTS) MEASURES

Replace the blue text in the left column of this section with the actual wording of your measures' numerators, denominators, and outcome rates (by %). Also in the right column's shaded blocks, include the corresponding goal amounts and percentages for each line.

Total Program Performance – OUTCOME # 1 (Required)	Total Program Annual Goal
Number of clients who make progress toward meeting treatment plan goals.(numerator)	45
Total number of clients with a treatment plan (denominator)	60
Percent of individuals who make progress toward meeting treatment plan goals. (outcome rate)	75%

Total Program Performance – OUTCOME # 2 (Proposed)	Total Program Annual Goal
Number of clients who's score remained the same or increased (numerator)	45
Total number of clients with an initial SSOM score (denominator)	60
Percentage of clients who demonstrate improved life skills and/or knowledge. (outcome rate)	75%

These output and outcome measures are defined and detailed in D. performance Measures –

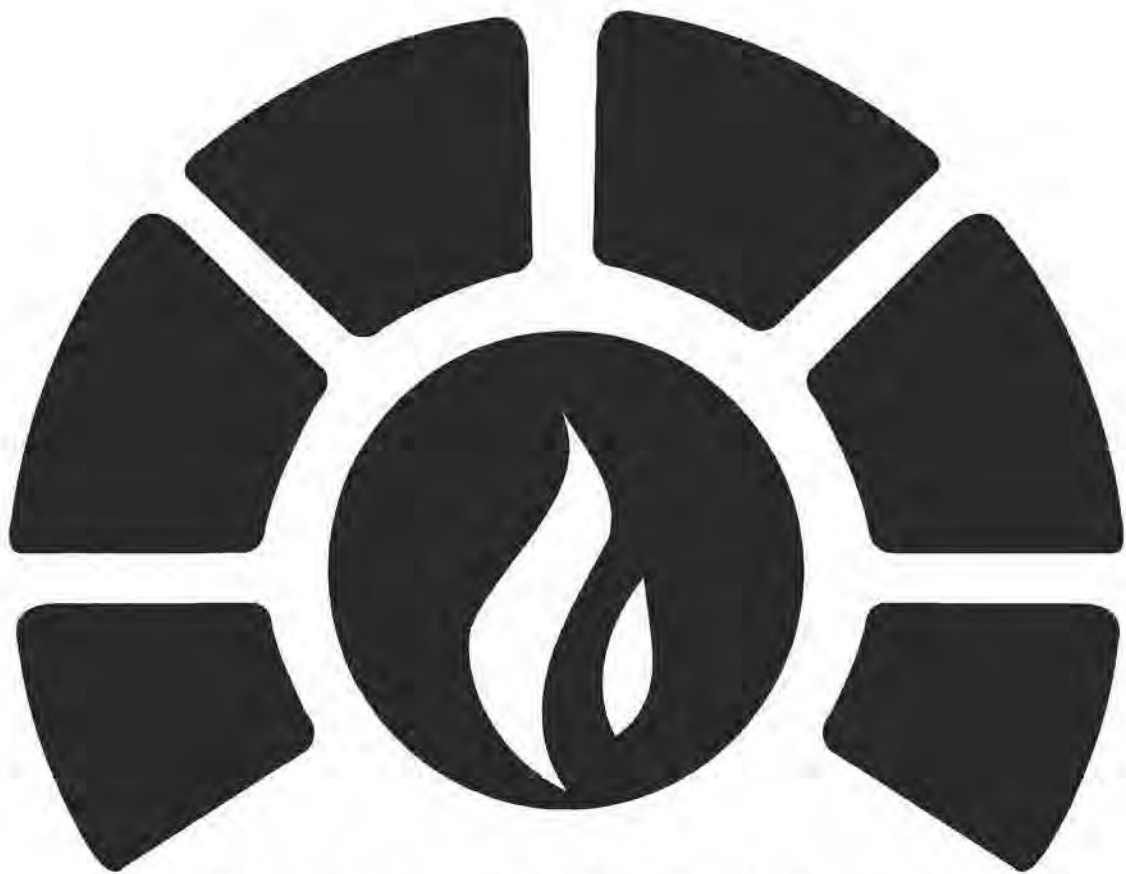
Impact on the Goals, 1. Describe how the Applicant will calculate the required and any other proposed outputs and outcomes.

(For additional Output or Outcome measures, copy and paste the blocks above and re-number accordingly)

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

Memoranda of Understanding Copies



CARITAS

MEMORANDUM OF AGREEMENT

Between

Samaritan Center for Counseling and Pastoral Care, Inc.

And

Caritas of Austin

This agreement is entered into by and between the Samaritan Center for Counseling and Pastoral Care, Inc. (hereinafter referred to as "Samaritan Center") and Caritas of Austin (hereinafter referred to as "Caritas"). Under this agreement, Samaritan Center shall provide counseling services for clients of Caritas and consultation and training services for staff members of Caritas.

The specific services provided under this agreement will be developed collaboratively between the parties to this agreement (hereinafter referred to as "the parties"). Counseling services, to assist clients with mental health and substance abuse needs, in support of successful achievement of client goals, will be provided in one-on-one or in group sessions at the Samaritan Center. Groups conducted for clients, staff consultation, and staff training services will also be provided to staff of Caritas at mutually-agreed upon locations.

1. SCOPE OF SERVICES

A. Counseling for Individuals and Families

Professional, confidential counseling to assist clients of Caritas, will be offered by professional staff. Diagnostic and therapeutic sessions will be provided by referral from Caritas case management staff and will be conducted by appointment. Initial authorization shall be made for six sessions, with possible extension upon recommendation of the professional staff and case manager's approval. Medical services are not to be performed under this agreement.

Individuals eligible for service include clients of Caritas only. Sessions will be conducted on-site at a Samaritan Center location. Samaritan Center therapists are to provide Progress Notes to the referring Caritas Case Manager at least quarterly or when significant changes have occurred.

An initial GAF shall be administered to each client no later than their second session. While Samaritan Center provides services, a GAF shall be administered to each client at six-month intervals. At the client's last appointment, a final GAF shall be administered. Samaritan Center staff shall provide GAF scores to the Caritas case manager no more than five calendar days after each GAF is administered. All information shared between Samaritan Center and Caritas is subject to Confidentiality regulation and procedures as provided under Part II.

Clients who fail to attend a scheduled counseling session without 24 hours' notice shall be charged a late cancellation/no show fee. Extenuating circumstances will be considered at the discretion of the Samaritan Center professional staff with whom the appointment was scheduled. Caritas shall be charged the standard fee for cancellations and no shows. The referring Caritas case manager will be notified within 48 hours and no additional sessions may be scheduled without their approval.

This agreement shall have a term of one year, commencing on April 23, 2013, and may be extended or modified after the term of one year.

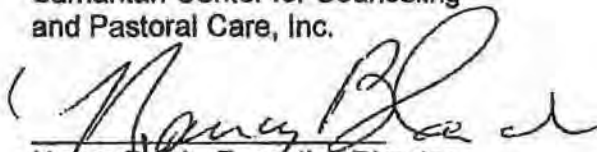
C. Assignment

This agreement shall not be assigned in whole or in part by any party without the prior written consent of the other parties hereto.

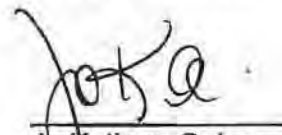
D. Authorization

Both parties to this agreement represent that the person signing below on its behalf is fully authorized to enter into this agreement and to bind their respective organizations with respect to each material term of this agreement.

Samaritan Center for Counseling
and Pastoral Care, Inc.


Nancy Balch, Executive Director
4/22/13
Date

Caritas of Austin


Jo Kathryn Quinn
4.23.13
Date

MEMORANDUM OF AGREEMENT

Between

Samaritan Center for Counseling and Pastoral Care, Inc.

And

Caritas of Austin

October 2013 Addendum

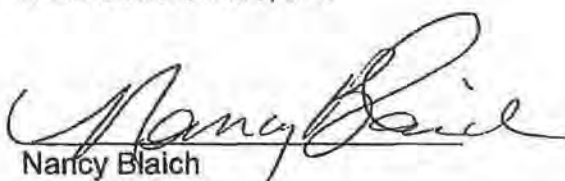
The Samaritan Center will provide individual and/or family counseling services at a client's home on a pre-approved, case-by-case basis. The fee for a home counseling session will be \$150 for the first hour. If additional counseling hours are required at the same location during the same home visit, the additional counseling hours will be billed at \$65 per hour.

This addendum shall be in effect until April 23, 2014, the same term as the original agreement. It can be extended or modified after this term.

Authorization: Both parties to this agreement represent that the person signing below on its behalf is fully authorized to enter into this agreement and to bind their respective organizations with respect to each material term of this agreement.

Samaritan Center for Counseling
and Pastoral Care, Inc.

Caritas



Nancy Blalch

10/29/13
Date

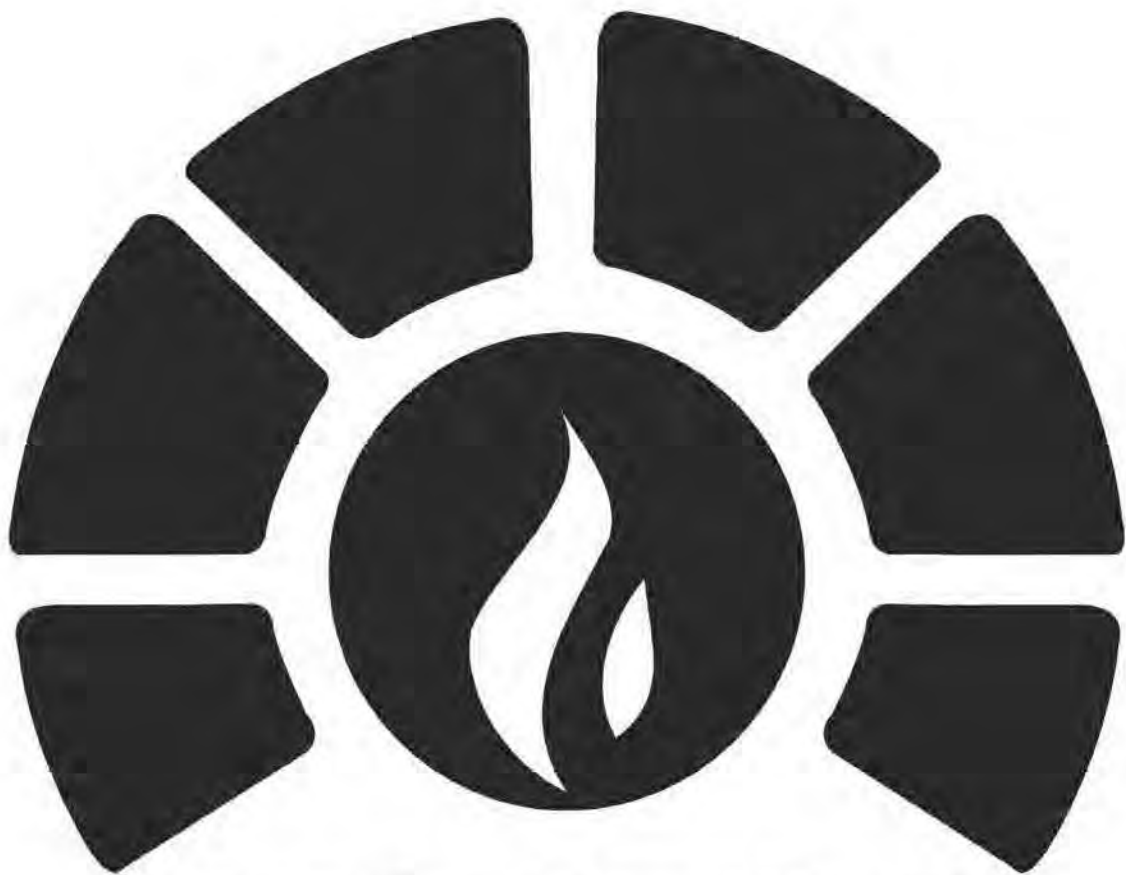
Jo Kathryn Quinn

Date

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

Letters of Intent to Continue Participating in MBHS



CARITAS

LYNDA S. VALSECA, MA.LPC.LCDC

1823 Fortview Road St. 105

Austin, Texas 78704

512-693-7244 (Phone)

512-828-7759 (Fax)

April 15th, 2014

Ms. Jo Kathryn Quinn, Executive Director

Caritas of Austin

Post Office Box 1947

Austin, Texas 78767-1947

Re: Letter of Intent to Participate in the Mental and Behavioral Health Services (MBHS) Program

Dear Ms. Quinn:

I, Linda Valseca LPC LCDC currently have an agreement with Caritas in Austin to provide mental and behavioral health services to Caritas clients. Specifically, I will provide the following services under this grant:

- Individual psychotherapy and substance abuse counseling for Caritas clients
- Clinical Supervision to Caritas staff
- In-service trainings to Caritas staff

It is my intent to enter into a Memorandum of Understanding with Caritas of Austin prior to October 1, 2016.

Sincerely,

Handwritten signature of Linda S. Valseca in cursive script.

Linda S. Valseca, LPC.,LCDC



Dear Ms. Quinn:

I/our agency currently has an agreement with Caritas in Austin to provide mental and behavioral health services to Caritas clients. Specifically, I/our agency will provide the following services under this grant:

- Psychotherapy through individual therapy sessions
- Our agency can also provide neurological testing
- grief/loss + interpersonal therapy

It is my intent to enter into a Memorandum of Understanding with Caritas of Austin prior to October 1, 2016.

Sincerely, *Khwayang WC* 4/15/14



Board of Directors:

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Michael Haynes, Director
Michaelanne Hurst, Director
Valerie Milburn, Director

Executive Director:

Robin Peyson

April 15, 2014

Ms. Jo Kathryn Quinn, Executive Director

Caritas of Austin

Post Office Box 1947

Austin, Texas 78767-1947

Re: Letter of Intent to Participate in the Mental and Behavioral Health Services (MBHS) Program

Dear Ms. Quinn:

I/our agency currently has an agreement with Caritas in Austin to provide mental and behavioral health services to Caritas clients. Specifically, I/our agency will provide the following services under this grant:

- Facilitate a DSHS approved Peer Recovery Coach Institute

It is my intent to enter into a Memorandum of Understanding with Caritas of Austin prior to October 1, 2016.

Sincerely,



April 15, 2014

Ms. Jo Kathryn Quinn, Executive Director
Caritas of Austin
Post Office Box 1947
Austin, Texas 78767-1947

Re: Letter of Intent to Participate In the Mental and Behavioral Health Services (MBHS) Program

Dear Ms. Quinn:

Our agency currently has an agreement with Caritas in Austin to provide mental and behavioral health services to Caritas clients. Specifically, our agency will provide the following services under this grant:

- Adult Chemical Dependency residential treatment services

It is my intent to enter into a Memorandum of Understanding with Caritas of Austin prior to October 1, 2016.

Sincerely,

Beth Cathcart

Business Development and Contract Manager

www.TexasStarRecovery.com

512-462-6729 Phone 512-462-6714 Fax

Located in Austin, Texas Star Recovery provides individualized Chemical Dependency treatment for adults.



April 15, 2014

Ms. Jo Kathryn Quinn, Executive Director
Caritas of Austin
Post Office Box 1947
Austin, Texas 78767-1947

Re: Letter of Intent to Participate in the Mental and Behavioral Health Services (MBHS) Program

Dear Ms. Quinn:

Austin Recovery currently has an agreement with Caritas in Austin to provide mental and behavioral health services to Caritas clients. Specifically, Austin Recovery will provide the following services under this grant:

- Substance abuse inpatient treatment
- Substance abuse outpatient treatment
- Substance abuse aftercare treatment and support services

It is our intent to enter into a Memorandum of Understanding with Caritas of Austin prior to October 1, 2016.

Sincerely,

A handwritten signature in blue ink, appearing to read "Joel Ferguson", is written over a light blue circular stamp.

Joel Ferguson
Executive Vice President
Austin Recovery



Samaritan Center

FOR COUNSELING AND
PASTORAL CARE

8956 Research Blvd. Bldg #2
Austin, TX 78758
512-451-7337
Fax 512-451-8729

www.samaritan-center.org
www.hopeforheroestexas.org

BOARD of DIRECTORS

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CHIEF EXECUTIVE OFFICER

Nancy Blaich, LCSW

PROGRAMS & SERVICES

Youth & Family Counseling
HOPE for HEROES
Integrative Medicine
Military & Veteran Peer Network

LOCATIONS

Main Office

8956 Research Blvd. Bldg 2

Georgetown

3613 Williams Drive Suite 301

Round Rock

Sweet Home Baptist Church
3200 Sunrise Road

San Marcos

First United Methodist Church
129 West Hutchison

Cedar Park

Advanced Therapeutic Massage
200 Buttercup Creek Blvd. #119

April 15, 2014

Ms. Jo Kathryn Quinn, Executive Director
Caritas of Austin
Post Office Box 1947
Austin, Texas 78767-1947

Re: Letter of Intent to Participate in the Mental and Behavioral Health
Services (MBHS) Program

Dear Ms. Quinn:

The Samaritan Center currently has a formal Memorandum of Agreement with Caritas in Austin to provide behavioral health services for Caritas clients and training for Caritas staff members. Specifically, the Center provides the following services for Caritas:

- Individual Counseling (in-home or office-based)
- Group Counseling
- Formal Consultation and Staff Training for Caritas staff members on topics such as career guidance and resources, program management employee wellness and mental health problems.

It is my intent to renew our Memorandum of Agreement with Caritas of Austin each year in order to provide services throughout the grant period and beyond.

Sincerely,

Nancy Blaich, LCSW
Executive Director

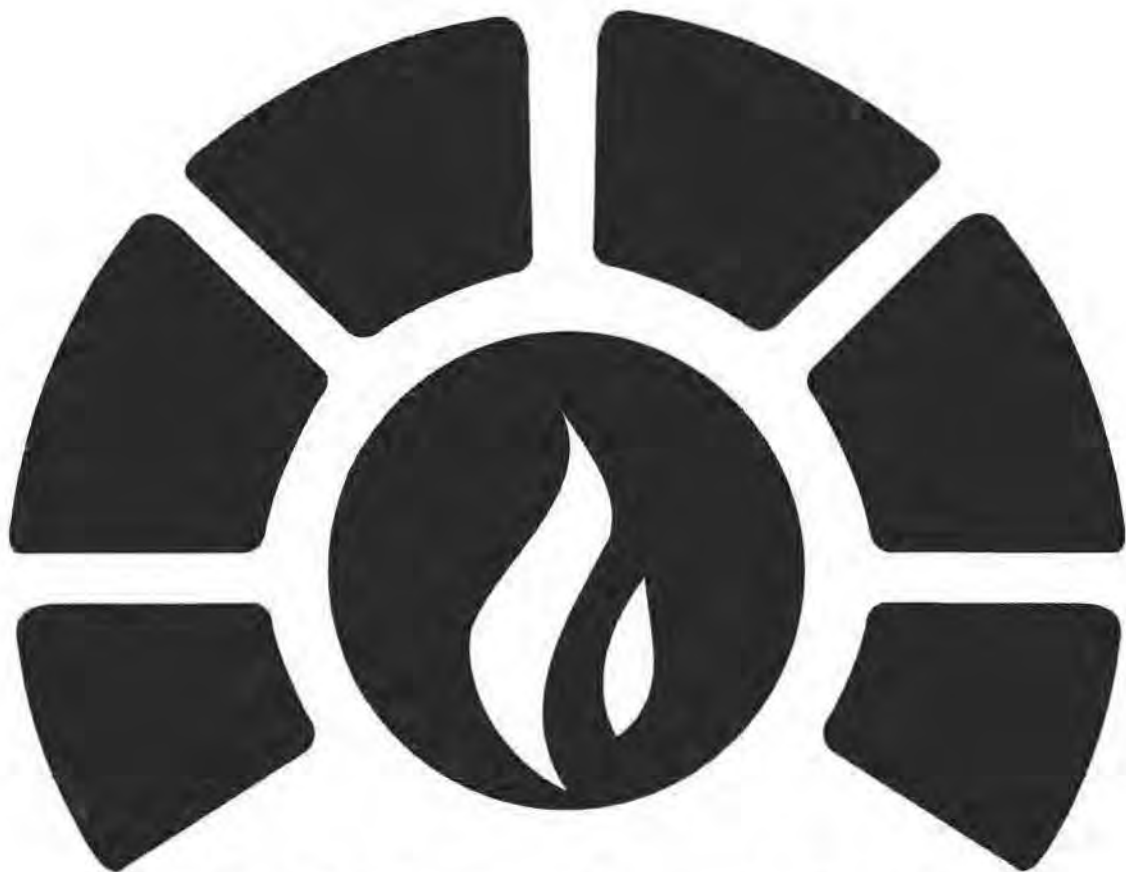
**Providing 40 years of Hope and Healing
to Central Texas Families**

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

Attachment to G. Overall Factors Regarding Applicant. 1. and 1a.

Contact Information of the Grant and Funder



CARITAS

Attachment to G. Overall Factors Regarding Applicant. 1. and 1.a. Contact Information of the Grant and Funder Identified Below

Funding Agency	Grant Name	Funder Contact Name, Title, Phone #
FEDERAL GRANTS CONTACT INFORMATION		
US Dept of Housing/Urban Development	Continuum of Care Supportive Housing Program	William Dawson, Community Planning and Development Rep, 210-475-6800
US Dept of Housing/Urban Development (passed through TX Dept of Housing/Community Affairs)	Homelessness Prevention and Rapid Rehousing Program (HPRP)	Gloria Mitchell, Contract Specialist, 512-475-3999
US Dept of Veteran Affairs	Supportive Services for Veteran Families (SSVF)	Tamara Wright, Regional Coordinator, 254-743-8927
US Dept of Homeland Security and US Dept of Health and Human Services (passed through US Conference of Catholic Bishops)	Refugee Admissions Program and Refugee & Entrant Assistance	Matt Chatterdon, Contract Specialist, 202-541-3059

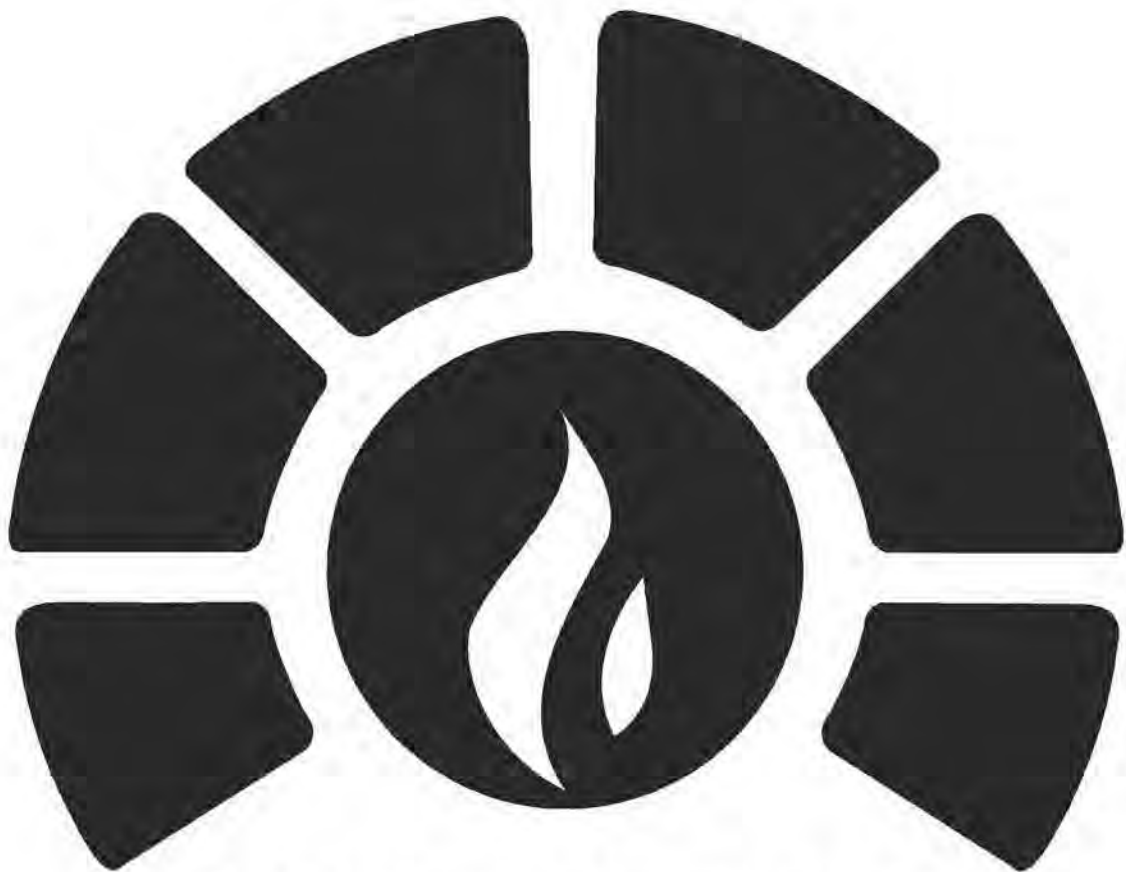
US Dept of Housing/Urban Development passed through TX Dept of Housing/Community Affairs	Emergency Solutions Grant Program	Gloria Mitchell, Contract Specialist, 512-475-3999
LOCAL GOVERNMENT GRANTS CONTACT INFORMATION		
Travis County	Community Energy Assistance Program, Best Single Source, Best Single Source Plus, Community Kitchen	LaDonna Brazell, Contract Specialist, 512-854-7875
City of Austin	Community Support Program, Community Kitchen, MyChance, CSBG pass- through, ARRA-HPRP, MyPlace, Best Single Source/ Best Single Source Plus, & Mental and Behavioral Health Services (MBHS),	Vella Karman, Grants Coordinator, 512-972-5064

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

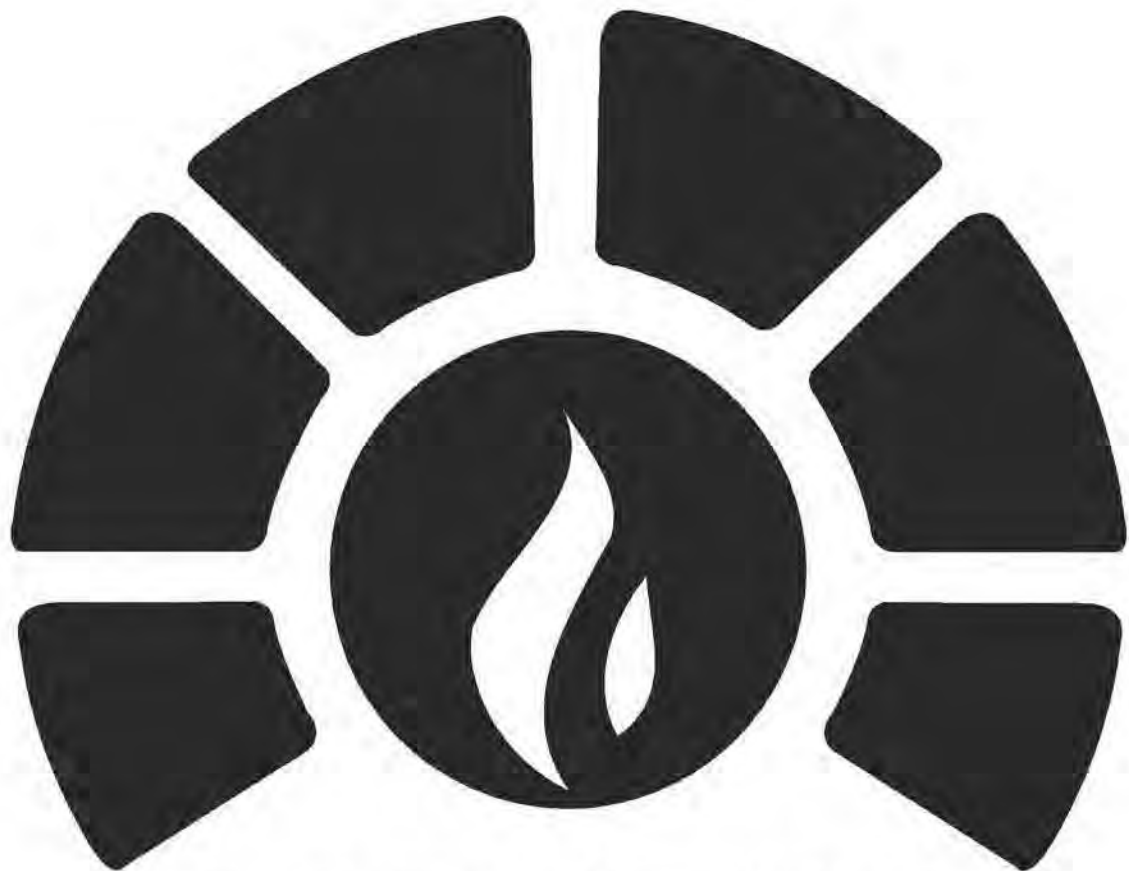
Monitoring Reports Received Within the Past 24 Months of Administering Relevant City of Austin

Health and Human Services Department, Other Local, State, and/or Federal Contracts



CARITAS

Caritas of Austin
Mental and Behavioral Health Services (MBHS)
City of Austin Monitoring Reports



CARITAS



City of Austin Health and Human Services Department

Community Services Division
Community Based Resources Unit
P.O. Box 1088
Austin, Texas 78767

September 23, 2013

Jo Kathryn Quinn, Executive Director
Caritas of Austin
PO Box 1947
Austin, Texas 78767

Re: Report for Site Visit on August 19, 2013

Dear Ms. Quinn:

A site visit for Caritas of Austin was conducted on August 19, 2013 at Caritas' offices at 611 Neches Street. The focus of this site visit was performance review. Vella Karman, *Grants Coordinator*, and Edna Staniszewski, *Contract Compliance Associate*, for the Community Based Resources unit of the City of Austin Health and Human Services Department (HHSD) conducted the site visit. The following staff members from Caritas were in attendance for all or part of the site visit:

Jo Kathryn Quinn, *Executive Director*
Susan Hartenstein, *Chief Financial Officer*
Lori Frasco, *Director of Housing Services*
Christina Hamilton, *Associate Director of Best Single Source Plus and Evaluations*
Preston Petty, *Best Single Source Plus Program Coordinator*
Sarah Stanton, *Best Single Source Plus Program Coordinator*
Sherry Blatherwick, *Housing Programs Manager*

Prior to the site visit, the HHSD contract manager conducted Annual Desk Reviews for both the Best Single Source Plus (BSS+) contract and the Mental and Behavioral Health Services (MBHS) contract. The desk review for each contract consisted of the sections below. Notable items for each contract follow:

- Financial Review
- Performance Review
- Technical Assistance Review
- Administrative Review

Best Single Source Plus

As of the Annual Desk Review dated July 3, 2013, the following items were noted:

- 1) Budget revision and staffing changes implemented on 2/1/2013, along with program ramp-up, have resulted in increased spending rates and on-target projections for contract term.
- 2) All required HMIS data reports earned "Excellent" scores.

- 3) Q1 and Q2 performance in FY13 has been lower than contracted goal. Increases expected during remainder of year and into FY14, as more clients are served, receive case management and exit the program.
- 4) Lower performance was expected at the beginning of the contract, but program "ramp-up" took longer than originally anticipated and performance has continued to lag. A contributing factor has been clients in longer periods of case management than initially projected, which leads to delayed program exit and delayed reporting of outcomes. Caritas has been diligent about communicating challenges and strategies for improvement throughout the contract to date.

MBHS

As of the Annual Desk Review dated July 3, 2013, the following items were noted:

- 1) Initial low spending has increased over time with program maturity, additional related services and more clients opting to take advantage of program services. Increased spending is still required to expend all contract funds within the contract term.
- 2) HMIS data quality reports were submitted with a score of "Excellent" for Feb – Jun. January's report was not submitted due to technical difficulties. These technical problems were communicated to the HHSD contract manager in a timely manner.

I. AGENCY AND PROGRAMS OVERVIEW

1. Caritas of Austin serves the working poor, the homeless, the near homeless, the unemployed and documented refugees. Programs and services include housing stability services, housing services, food services, education, employment and refugee resettlement.
2. Caritas' target populations are facing poverty, experiencing a crisis or working through a crisis, experiencing homelessness, hunger, and/or attempting to transition to mainstream society with limited resources.
3. Caritas has two programs fully funded or partially funded by the City of Austin – Best Single Source Plus (BSS+) and Mental and Behavioral Health Services (MBHS).
4. Caritas has signed a Memorandum of Understanding with Salvation Army for inclusion in the BSS+ collaborative and referrals are beginning through Salvation Army's Passages program.
5. Caritas continues to explore ways to collaborate with the WERC program, with which they maintain an MOU, and representatives of both collaboratives will be at the BSS+ Executive Directors meeting in October.

II. OVERALL CONTRACT PERFORMANCE

BSS+

1. Over the first three quarters of FY13, Caritas has served 3,013 individuals in BSS+. This number constitutes 67% of the annual Output goal of 4,494 unduplicated clients.
2. Over the first three quarters of FY13, Caritas has reported BSS+ outcome performance of 62% of households at risk of homelessness that maintain housing and 64% of households transitioning from homelessness into housing. These outcomes are below the annual goal of 80% for each measure. Caritas has been working with collaborative partners and with the HHSD contract manager to improve outcome rates.

MBHS

1. Over the first three quarters of FY13, Caritas has served 61 clients in the MBHS program, far exceeding the annual goal of 42 unduplicated clients served.
2. Over the first three quarters of FY13, Caritas has reported MBHS outcome performance of 62.5% of individuals whose Global Assessment of Functioning (GAF) score increases. This is well below the annual goal of 79%. However, the total number of individuals evaluated with the GAF and those with improved mental health status as measured on the GAF have exceeded annual goals. Individuals who have improved GAF scores are at 204% of goal, while total number of individuals served and evaluated with the GAF is 259% of goal.
3. We discussed the outcome definition mandated by HHSD in Amendment No. 1 of the 4/1/12 – 9/30/14 MBHS contract, which requires using the GAF assessment tool and presents challenges for accurately capturing client improvements and consequently, reporting program outcomes. This required assessment tool will likely change in the future, given changes in the newest version of the DSM.

III. CLIENT ELIGIBILITY REQUIREMENTS FOLLOW-UP

1. Caritas' BSS+ contract and MBHS contract were each amended in April 2013 to include *Exhibit A.3, Client Eligibility Requirements*.
2. Caritas worked with necessary partners to review and update all policies, procedures, and program forms to reflect the new contract requirements. Updates were implemented and effective May 1, 2013 for all new clients entering the program.
3. No significant barriers were reported by Caritas for determining client eligibility in accordance with the new requirements. Caritas staff continue to contact the HHSD contract manager for guidance with clarifying questions and specific client situations as they arise.
4. During the recent HHSD Contract Compliance Unit's monitoring of Caritas, an income calculation tool was shared with Caritas staff. This tool and accompanying instructions were discussed during the site visit on 8/19/13, and Caritas has plans to incorporate some of the clarifying calculation tools into their processes.

IV. PERFORMANCE REVIEW

The *Performance Review* section of the On-Site Review Checklist was used for this site visit. A copy of the On-Site Review Checklist was sent to Caritas prior to the 8/19/13 site visit. Brief responses to the *Performance Review* questions are listed below.

- A. Yes, written materials, project files, and staff interviews indicate contract activities are consistent with the contract terms/provisions.
- B. Yes, there is documentation to verify reported results for specific performance goals stated in the contract. Caritas uses ServicePoint (HMIS software) to maintain client records of program entry/exit and services delivered for both BSS+ and MBHS contracts. This practice aligns with HHSD contract requirements. Client records and reports are accessible to HHSD staff who maintain an HMIS user license, including the HHSD contract manager for these contracts.

- C. Client files were not inspected during this site visit, due to a recent file review by HHSD's Contract Compliance Unit (CCU) during On-Site Monitoring June 18-20, 2013. The final report from CCU was released September 13, 2013.
- D. Additional contract requirements include monthly HMIS data quality reports submitted with each expenditure report/payment request. These reports are required for both BSS+ (including Caritas and all subcontractors, excepting SafePlace) and MBHS. All data quality reports have been submitted on time and with an "Excellent" score for data quality. Caritas also provides to HHSD a quarterly supplemental program performance report required by the other funder of this program, Travis County Health & Human Services and Veterans Service. This supplemental report details specific services and dollar amounts of financial assistance provided to clients by each agency in the BSS+ collaborative.

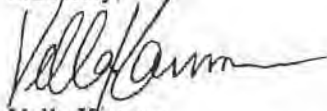
V. OTHER NOTABLE ITEMS

- According to Caritas staff, a recent monitoring of BSS+ by Travis County Health & Human Services and Veterans Services recommended documentation of clients receiving a Grievance Policy during program entry into BSS+. Caritas indicated they will be working on that procedure.
- HHSD initiated some questions about the case load and performance of one agency in the BSS+ collaborative, Catholic Charities of Central Texas, who have 2.5 FTE case managers working in the program. Caritas staff will look into this matter and follow up with the HHSD contract manager.
- Caritas is continuing their efforts to reach other populations in the community with BSS+ services and will keep the HHSD contract manager apprised of any progress in this area.

In summary, the HHSD site visit at Caritas produced a satisfactory report of overall contract performance, client eligibility requirements, and program performance.

If you have any questions or comments regarding this report, please feel free to contact me at (512) 972-5064. I greatly appreciate your time and participation in this process.

Sincerely,



Vella Karman
Grants Coordinator/Contract Manager

Cc: Letter will also be sent electronically

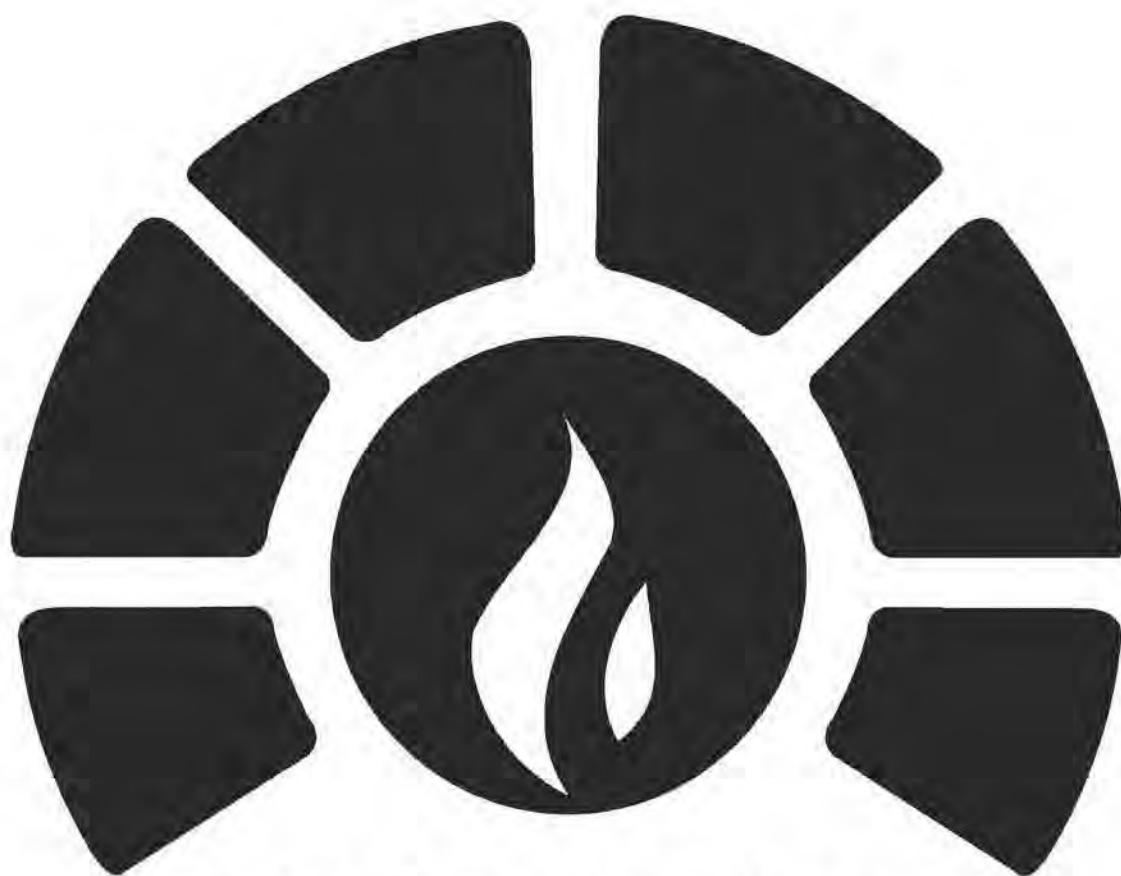
Caritas of Austin

Mental and Behavioral Health Services (MBHS)

US Department of Housing and Urban Development

Continuum of Care—Permanent Supportive Housing

Monitoring Report



CARITAS

MAY 08 2013

6JD: 2010 SHP File
6JD: Reading File
6JD:HETTLER:mgh/05/02/13

Ms. Lori Frasco
Director of Housing Services
Caritas of Austin
P.O. Box 1947
Austin, Texas 78767-1947

Dear Ms. Frasco:

SUBJECT: On-site Monitoring Review – Caritas of Austin
Supportive Housing Program (SHP) – My Home, My Home Too
and Spring Terrace

An on-site monitoring review of the My Home, My Home Too and Spring Terrace SHP Projects, was conducted on April 1 - 9, 2013 by Marie Hettler of our staff. Monitoring reviews are designed to evaluate a grantee's HUD-assisted programs and to ensure compliance with program requirements. Monitoring activities also serve as the primary means by which the Department carries out statutorily mandated responsibility.

The enclosed report summarizes our conclusion of the monitoring review. We wish to thank you and your staff for the professional courtesy and cooperation in providing the various submissions required before and during the monitoring review.

Should you have any questions, please contact Marie Hettler, Senior CPD Representative, at (210) 475-6800, Ext. 2294; or e-mail marie.g.hettler@hud.gov.

Sincerely,



Elva F. Garcia, Director
Office of Community Planning
and Development

Enclosure

6JD
M. Hettler
HETTLER
5/6/13

MONITORING REPORT

April 01 - 09, 2013

GRANTEE NAME: Caritas of Austin

PROJECT NAME: My Home – TX0030B6J031002
My Home Too – TX0031B6J031001
Spring Terrace – TX0040B6J031003

PROGRAM REVIEWED: Supportive Housing Program (SHP)

TYPE OF REVIEW: On-site Monitoring

PURPOSE OF REVIEW: The purpose of this monitoring visit was to determine whether activities and related services are delivered in accordance with applicable regulatory standards, the Grantee's Continuum of Care application and related grant agreements.

HUD MONITOR CONDUCTING REVIEW:

Marie Hettler Senior CPD Representative

GRANTEE STAFF IN ATTENDANCE:

Lori Frasco	Housing Services Director
Sherry Blatherwick	SHP Program Manager
Susan Hartenstein,	Chief Financial Officer
David Nobles	Grants/Contracts Manager

SCOPE OF MONITORING

Caritas of Austin administers the Supportive Housing Program (SHP) and utilizes SHP funds for providing assistance through its Permanent Housing (PH) program. Aside from permanent housing, this program provides supportive services (i.e. case management, transportation, basic furnishings, identification card fees, and translation services to non-English speaking clients) to homeless individuals. This on-site monitoring consisted of reviewing in-house procedures; client file documentation; conducting staff interviews; and a visual inspection of rental units. The monitoring of these activities encompassed client eligibility, supportive services, project progress, housing, overall program management, and other program requirements.

I. CLIENT ELIGIBILITY

In accordance with **24 CFR 583.5**, participant files must document that the individual or families were homeless prior to entry. For Permanent Housing projects, client files must also demonstrate disability of homeless individual or family member(s).

During the period reviewed Caritas assisted 86 clients which included 39 with the My Home project; 23 with the My Home Too project; and 24 with the Spring Terrace project. Of the clients assisted, 12 of the client files were reviewed for homeless eligibility (four from each project equivalent to 14% of clients assisted).

During HUD's previous monitoring of this SHP program, we had a finding in this area of client eligibility; whereby the client's disability was not properly documented prior to entry. However, the client file documentation reviewed during this monitoring was found to be in good order, properly documenting disability and homelessness eligibility.

As set forth in **24 CFR 583.300(f)**, at least one homeless or formerly homeless person must participate in the policy decision-making process.

Based on documentation submitted for review, we found that a formerly homeless person is a member of Caritas of Austin's Board of Directors; the individual's name was provided to HUD in writing and made part of this monitoring file. As such, Caritas was found to be in compliance with the above referenced standard.

II. SUPPORTIVE SERVICES

Based on **24 CFR 583.300(d)**, each recipient of assistance under this part must conduct an ongoing assessment of the supportive services required by the residents of the project and the availability of such services, and make adjustments as appropriate.

A review of documentation submitted for the same twelve participants from Caritas' permanent housing programs revealed that periodic assessments of the client's supportive service needs are conducted; these assessments are done to ensure follow-through on established goals, objectives, and service provision. Based on on-site interviews with Grantee staff, the Program Manager makes weekly site visits for observation and interaction. As such, Caritas was found to be in compliance with the above referenced standard.

III. PROJECT PROGRESS

Based on the requirements set forth in **24 CFR 583.410(a)**, when HUD and the applicant execute a grant agreement, the recipient will be expected to carry out the supportive housing or supportive services activities as proposed in the application.

The above referenced projects were reviewed to determine if the supportive services provided and number of persons served is consistent with the approved application for the point in time of the grant being reviewed. HUD found that supportive services provided were correspondent to those proposed in the original application and consistent with the proposed number in the approved application; they were also consistent with numbers reported in the respective Annual Progress Reports (APRs).

IV. HOUSING

In accordance with 24 CFR 583.115(b)(2), the rent paid must be reasonable in relation to rents being charged for comparable units, considering the location, size, type, quality, amenities, facilities, and management services. The rents may not exceed rents currently being charged by the same owner for comparable unassisted units, and the portion of rents paid with grant funds may not exceed HUD-determined fair market rents.

A review of the file documentation submitted for the related 12 rental units, rent reasonableness was adequately documented as evidenced by the rent reasonableness worksheet; and rents charged are within the Fair Market Rents for the area. Also evident was the annual recertification of income (as applicable) for the purpose of determining the tenant's portion of rent. As such, Caritas of Austin was found to be in compliance with the above referenced standard.

Based on 24 CFR 583.315(a), (1), (2) and (3), each resident of supportive housing may be required to pay as rent an amount determined by the recipient which may not exceed the highest of: 1) 30 percent of the adjusted income (adjustment factors may include individual's age and medical expenses, utilities, etc.; or, 2) 10 percent of the monthly income.

A review of the rent calculation worksheets submitted, relative to the 12 sample clients, evidenced that the rents charged are accurately calculated and do not exceed the maximum percentages allowed. Although these worksheets evidenced accurate rent calculations, an administrative oversight was noted; these worksheets incorrectly referenced the HOPWA program. As such, we **recommend** that Caritas refer to the *Supportive Housing Program Self-Monitoring Tools Guide* at <https://www.onecpd.info/resources/documents/SHPSelfMonitoring.pdf>, for a copy of the rent calculation worksheet to be used for the SHP program, as applicable.

V. OVERALL PROGRAM MANAGEMENT

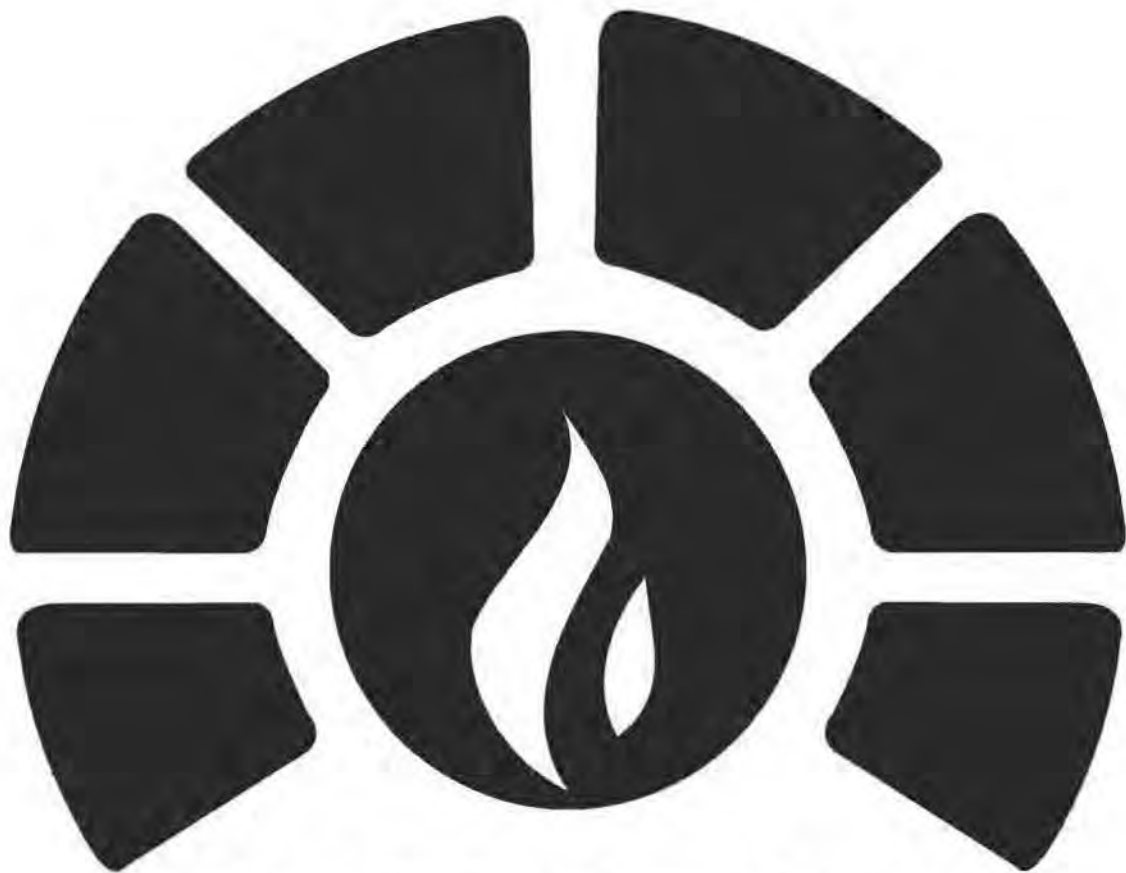
Consistent with Caritas of Austin's Supportive Housing Management and Oversight policy, measures for ensuring compliance with HUD requirements and regulations are communicated to and carried out by staff. Regular supervision is in place to ensure that all services and responsibilities are performed in a manner consistent with HUD requirements, property regulations and its own policies and procedures.

Overall, the Caritas of Austin SHP programs are well managed and provide a much needed service and benefit to its community's homeless population. Caritas of Austin has a comprehensive Client Services Policy and Procedures Manual for all three SHP projects (My Home, My Home Too and Spring Terrace); which ensure the grantee's ability to carry out the administrative responsibilities and that SHP funds are used in accordance with program requirements.

VI. OTHER PROGRAM REQUIREMENTS

A limited review of the Fair Housing and Equal Opportunity Requirements was conducted. Caritas of Austin's response was submitted directly to our Office of Fair Housing and Equal Opportunity for their review and subsequent action. Should you have any questions regarding the Fair Housing Program, please contact Mr. Joe Castillo, Director of the Office of Fair Housing at 475-6800, Ext. 2309.

Caritas of Austin
Mental and Behavioral Health Services (MBHS)
US Department of Veteran Affairs
Supportive Services for Veteran Families
Monitoring Report



CARITAS



Supportive Services for Veteran Families (SSVF) Uniform Monitoring Package (UMP)

Grantee Monitoring Report

Name of Grantee:	Caritas of Austin	Date/Time of Exit Conference:	15:45 April 15, 2013
Name(s) of Reviewer(s):	Tamara Wright	On-Site or Remote?	On-Site

Monitoring Summary

1. Names and Titles of VA Staff Participating in Exit Conference:

Tamara Wright

2. Names and Titles of Grantee Staff in Attendance:

Michelle Akers, Housing Stability Program Manager
David Nobles, Grants Coordinator
Lori Frasco, Director of Housing Services
Susan Hartenstein, Chief Financial Officer

Strengths:

-Grantee demonstrates a strong relationship with local community service providers, VAMC/CBOC, CoC, Homeless Coalition, and State and local community agencies.

-Grantee has strong presence in community and the location of the facility is prime location for homeless population.

-Grantee conducts comprehensive case management services to ensure that supportive services and resource/referral are provided to program participants.

Areas to Improve:

-Grantee to slow HUDVASH referrals because 85% + of their rapid rehousing clients are HUDVASH clients. Will start new street outreach program to find more hard to reach veterans and slow HUDVASH referrals.

3. Discussion (Highlights, including areas of disagreement, if any);

-Grantee to ensure grant compliance amongst all staff, by implementing administrative team meetings to educate staff on SSVF program office updates.

-Strengthen SSVF policy and procedure manual that incorporates uniform policies and procedures amongst all staff/agencies that incorporates the services provided under the SSVF grant agreement. This should also include more information regarding participant eligibility and target populations.

-Ensure the intake process does not take longer than 2 to 3 days and if veteran is deemed ineligible, document the resources that have been given to the veteran.

-Finding: Requested draw down funds and back up documentation for October 14th -31st in the amount of \$15,619.11. Upon review of the TFA documentation, Ineligible TFA expenditures were found, both were the purchases of furniture (2 beds and a mattress) for two different SSVF clients. When the case files were reviewed, there was no evidence of a bed bug infestation or other health concern that would allow for a bed to

be purchased. This finding requires a corrective action plan (CAP).

-TFA parameters for housing and categories 1 and 2 spending are not in compliance.

-Discussion included areas of concern, as well as the problem of Austin being at 98% occupancy with landlords refusing to take clients with zero income. Also discussed, Austin has highest median rent in state of Texas.

A. Program Progress

This section is designed to ensure that activities are being carried out in a timely manner and that the number of participants served is consistent with the approved application.

Findings: None

Concerns: Parameters in households and TFA are not in compliance. Draw down rate is slightly behind at 38% into Quarter 3 but expect to spend.

Recommendations: Stop or severely cut spending in category one. Also suggest not accepting new prevention clients until numbers are back in compliance.

B. Overall Management Systems/Structure

This section is designed to assess grantee's overall managements system and structure in relation to ensure compliance with program requirements and achievement of program goals.

Findings: None

Concerns: Policy and Procedures manual

Recommendations: Revamp policy and procedures manual to include more in-depth screening and eligibly practices, targeting, goals of agency and program, and case management guidelines. Some issues regarding timing of service delivery have been discussed in the past, perhaps include a timeline of service delivery from intake to a case management appointment.

C. Subcontractor Management (if applicable)

This section is designed to assess the grantee's management of any subcontractors to ensure compliance with program requirements and achievement of program goals.

Findings:

Concerns:

Recommendations: **No Subcontractors**

D. Outreach and Targeting

This section is designed to assess outreach services as described in 38 CFR 62.30. Grantees must a) provide outreach services and use their best efforts to ensure that hard-to-reach very low-income veteran families occupying permanent housing are found, engaged and provided supportive services and b) outreach services must include active liaison with local VA facilities, State, local, tribal (if any), and private agencies and organizations providing supportive services to very low-income veteran families in the area or community served by the grantee.

Findings: None

Concerns: Rapid Rehousing numbers 85%+ HUDVASH clients

Recommendations: Need to perform more street outreach to get hard to reach low income veterans rather than relying on HUDVASH and outreach at other homelessness organizations.

E. Participant Eligibility

This section is designed to assess whether participant eligibility has been adequately documented in terms of each participant's income and housing status upon program entry.

Findings: None

Concerns: Participant eligibility is what is stated in the program guide with no additional criteria or targeting mentioned in policies and procedures.

Recommendations: Revisit policy and procedures manual and list targeting and specific steps taken to target most at-risk veterans.

F. Supportive Services and Case Management

This section is designed to assess the grantee's performance in conducting on-going participant needs assessments and in providing the supportive services identified in the approved application.

Findings: None

Concerns: Files reviewed show exit documents and list reasons for exit but does not outline individual goals that were achieved or not achieved. Exit document contains case notes section to document reasoning but is limited in scope.

Epidemic of landlords not accepting HUDVASH vouchers, not accepting zero income clients, and they also start to accept HUDVASH and then later refuse them.

While grantee does not "screen out" veterans, they have a hard time finding housing for veterans with zero income and try to get an income before housing to make them more appealing to landlords, which is not consistent with a housing first philosophy.

One file was missing a DD214 but the veteran was a HUDVASH client so eligibility is assumed, however, working on retrieving document.

Recommendations: Suggested broadening to other counties to find affordable housing. Also, have just hired 2 new housing locators (different grant) to look for new landlords to recruit in the area. Continue to seek DD214's for compliancy in client files.

G. Financial Management and Cost Allowability

This section is designed to review the grantee's financial management system and eligibility of grant expenditures. This section is designed to review the SSVF grantee's allocation of cost to verify that its procedures comply with OMB Circular A87, OMB Circular A122, 24 CFR Part 84 and 24 CFR 85.22, made applicable to the SSVF program per 38 CFR 62.

Findings: Requested draw down funds and back up documentation for October 14th -31st, 2013 in the amount of \$15, 619.11. Upon review of the TFA documentation, ineligible TFA expenditures were found, both were the purchases of furniture (2 beds and a mattress) for two different SSVF clients. When the case files were reviewed, there was no evidence of a bed bug infestation or other health concern that would allow for a bed to be purchased and this was not approved by the regional coordinator.

Concerns:

Recommendations: Grantee was told furniture is not an allowable expense for SSVF funds. It is suggested that the grantee look at all TFA spent on furniture and document all the files that contain this TFA purchase. Recommend revisiting program guide for ineligible expenses periodically to stay in compliance. This requires a corrective action plan.

H. Vehicle Usage (if applicable)

This section is designed to review the grantee's use of vehicles funded with SSVF Grant fund in accordance with the grant agreement

Findings: None
Concerns: None
Recommendations: **No Vehicles*

I. Policies and Procedures

This section is designed to review the grantee's policies and procedures to ensure compliance with program requirements and achievement of program goals.

Findings: None

Concerns: More detail needed in Policy and Procedures manual.

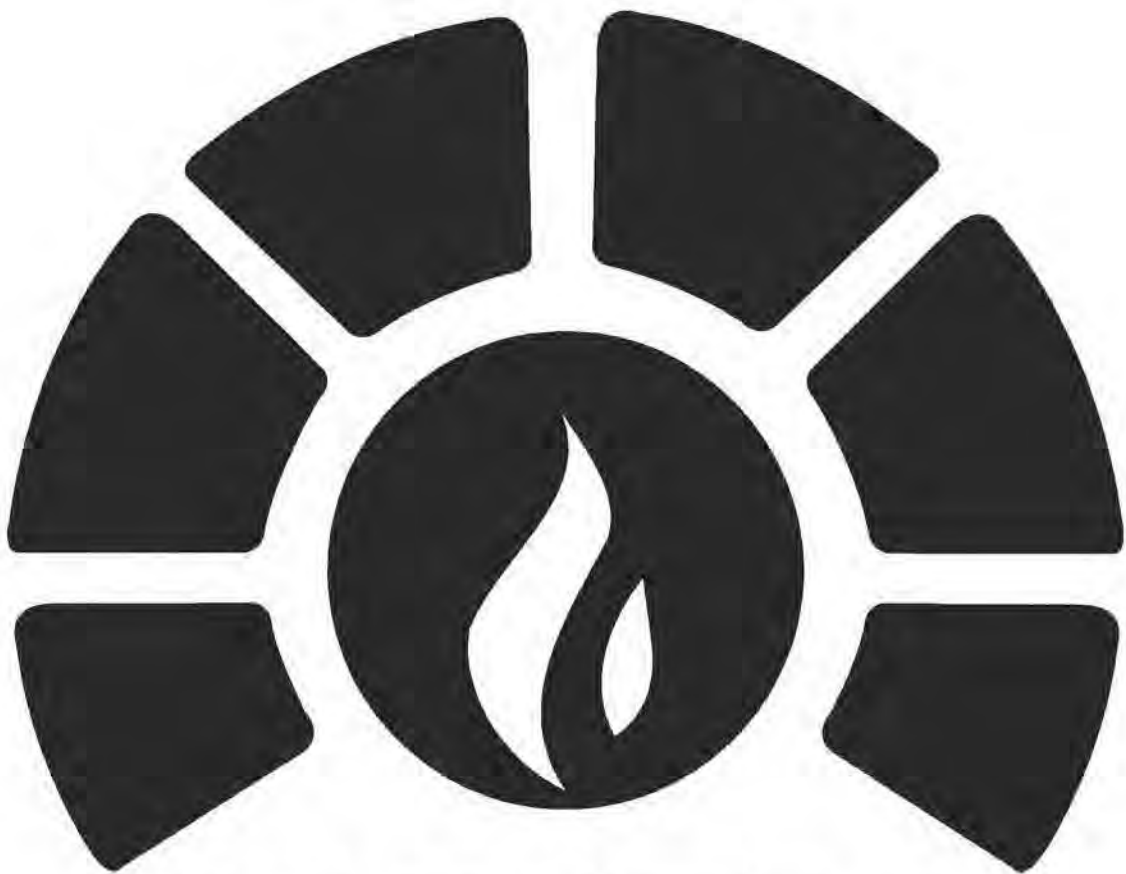
Recommendations: Policy and Procedures manual is minimal. No real detail showing periodic review, evidence of additional elements in screening/eligibility/targeting/ or goals for agency with SSVF program. Therefore it is suggested to revisit manual and list specific goals and targets as well as clarify steps and measures to be utilized for SSVF.

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

US Conference of Catholic Bishops

Refugee Admissions Program—Cuban/Haitian Entrant Program



CARITAS



Migration and Refugee Services

3211 Fourth Street NE • Washington DC 20017-1194

Web Site: www.usccb.org/mrs • E-Mail: mrs@usccb.org • 202.541.3352

August 7, 2012

Ms. Jo Kathryn Quinn
Executive Director
Caritas of Austin
611 Neches St.
Austin, TX 78701

Dear Ms. Quinn:

I have enclosed the Cuban/Haitian program review report for Caritas of Austin. The report covers the on-site review conducted by Matt Chaterdon of USCCB/MRS, from July 17 to 18, 2012.

First, I want to extend my congratulations to you on your promotion to Executive Director of Caritas of Austin. I look forward to meeting you in person, and to continue partnering with your organization. Your agency's CHEP program is a key part of the USCCB/MRS CHEP network of providers. As the CHEP program has seen especially high arrivals in 2012, that have strained our network capacity and funding, we are thankful for the flexibility and professionalism demonstrated by your staff.

There is one minor finding in this C/H report. Once you and your staff have had an opportunity to review the report and recommendations, please provide a written response and action plan to USCCB/MRS no later than September 7, 2012. Please do not hesitate to call me at 202/541-3345, or Matt Chaterdon at 202/541-3059, if you have any questions.

Sincerely,

A handwritten signature in black ink that reads "Richard J. Hogan".

Richard J. Hogan
Associate Director
Diocesan Development and Support

Enclosures

cc: Adelita Winchester
Matt Chaterdon
Ernesto Cuesta

U.S. Conference of Catholic Bishops Migration and Refugee Services

On-Site Review Report Cuban-Haitian Entrant Program Caritas of Austin

Persons Contacted

Caitriona Lyons, State Refugee Coordinator
Susan Hartenstein, CFO, Caritas
Adelita Winchester, Caritas Dir. Of Integrated Services
Mamadou Balde, Program Mgr. for Resettlement, Caritas
Harry Crawford, Program Mgr. for Resettlement, Caritas
Nivea Lopez, Case Manager, Caritas
Lindsay Morris, Case Manager
Yvonne Mboss, Case Manager
Nancy Ellis, Volunteer Coordinator
Cecilia Hernandez, Education Specialist
Angela-Jo Touza-Medina
Claire Dixon, Case Manager
Sally Daguer, Case Manager
Chandra Bista, Case Aide
Lorel Donaghey, Job Developer
Katy Billups, Employment Specialist
Aurea Zegana, Employment Specialist
Pete Salazar, Employment Specialist
Cassie Smith, Employment Specialist
Saad Chafik, Employment Specialist
Christian Perez, Senior Employment Specialist

*Cuban married couple
Cuban single woman*

Dates of Visit: July 17 to 18, 2012

**Reviewed by:
Matt Chaterdon, FSC**

Program Overview

Caritas of Austin was founded in 1964 to fill the gap between the needs of the poor and assistance provided by government welfare programs. The agency began resettling refugees in 1975. Since the 1980s, Austin has also been providing services to clients of the Cuban-Haitian Entrant Program (CHEP). Services to C/H clients include housing assistance, orientation, pick-up at the airport for those arriving by plane, assistance with all public aid applications, health check-ups, job development and placement, and coordination of school enrollment for children. In addition to resettlement services, Caritas provides employment, education, and homelessness services to approximately 20,000 people per year. The agency is the largest social service provider in Travis County. Refugee Services of Texas is the only other volag in Austin that serves C/H clients, as a sub-grantee of CWS.

USCCB/MRS conducts an annual on-site monitoring of diocesan Cuban Haitian Entrant Program sites. Components of this program evaluation include a review of case files, extended discussion regarding program implementation and finances with staff funded by the grant, and client home visits. Funding for CHEP in Austin comes from the C/H grant through the U.S. Department of Homeland Security (DHS/IO/HAB). In June 2012, the Caritas board promoted Ms. Jo Kathryn Quinn to the position of Executive Director. Ms. Quinn was formerly the director of housing services for Caritas of Austin, and has been with the agency for about seven years. Ms. Adelita Winchester acts as the resettlement director in her role as director of integrated services. Mr. Mamadou Balde is the program manager for the resettlement program (including C/H), and as such directly oversees the case management staff in their adjustment and orientation duties. Mr. Harry Crawford is the program manager for employment, and directly supervises the job placement staff.

In FY12, the CHEP arrival projection is 80; actual arrivals as of the end of July 2012, is 80 free cases plus 18 family reunion cases. In FY11, the Austin CHEP received 93 free case arrivals, and eight family reunion cases (the free case projection was 80).

Caritas of Austin provides services to the full range of CHEP entrants, except unaccompanied minors. These include: those coming directly from Cuba through the visa lottery; those coming directly from Cuba as part of the Family Reunification Parole Program; those who come by raft and are processed by Border Patrol officers; those Cubans entering by way of the Mexican border; Cubans who arrive at Miami Airport and are released by immigration authorities; and Cuban Medical Personnel and their families. The Austin program's *primary CHEP caseload* in FY12 has been southwest border crossers; there has been a smattering of cases in the Family Reunification Parole Program, the Cuban Medical Personnel program, Canadian border crossers, and six individuals resettled as part of the ex-political prisoner program.

The following report provides a description of the current resettlement environment for C/H clients in Austin, the Caritas CHEP program, and a report on specific monitoring requirements for CHEP.

Cuban/Haitian Program Review

Resettlement Environment and CHEP Program Services:

Austin is a Central Texas city that has a small feel to it, but many of the benefits of a larger city. The 2010 Census puts the population at 820,611 in the city proper, while the five-county Greater Austin area has a population of close to 1.8 million. Austin has good access to educational services, health care, and social services; housing prices are in the higher range for Texas. There are good employment opportunities, and the unemployment rate is around 7.1%. Public transportation is available through a bus system.

A CHEP program orientation is provided by the case manager for his/her own clients, with interpretation provided for clients who need it. During the first week of the month, newly arrived clients attend an extended orientation organized by education coordinator Angela-Jo Medina. This overview covers living in the U.S., health care, and there are presentations from the Austin Police, the public transportation system, the ESL provider, and other providers of interest. Mamadou presents rules, rights, and responsibilities for the agency. Ongoing orientation and adjustment issues are dealt with one-on-one after that with the case manager.

By three weeks after arrival, clients start job readiness classes. This is a series of eight classes covering federal employment law, interviewing skills, assertive communication, and identifying transferable skills. Job readiness classes are conducted by Caritas staff, and the option of a shorter class is available when necessary. The agency uses former refugees, small business owners, other trainers and employment counselors to lead these sessions. Staff noted that Cubans tend to be good about finding jobs quickly. A CNA training is available for some CHEP clients, and Caritas offers its own Food Handler Certificate Program and Housekeeping Certificate Program. For its C/H Vocational Program, Caritas has recently proposed to the State Refugee Coordinator, that this money be available for helping Cuban doctors to pay for their U.S. medical boards and prep courses.

ESL classes are conducted by iACT Interfaith Action of Central Texas (previously AIM) at different locations with rolling admissions; the morning classes are held at the Presbyterian church and the evening classes are held in clients' apartment complexes and at community centers. Austin Community College has a program for more advanced ESL students. English at Work programs are being held at Whole Foods and Michelangos. Many of the clients enrolled at these programs are Cubans. If a client has a good reason not to attend ESL, s/he must call their employment specialist to explain the reason. For unexcused absences, staff give a verbal warning at first, then a written warning, and then the RCA check or MG benefits may be suspended.

Housing in Austin averages about \$600 for a one-bedroom, \$700 for a two-bedroom. Cuban clients do not normally need a three-bedroom apartment. Zaid, the resettlement specialist, is responsible for coordinating all pre-arrival housing arrangements. Caritas primarily uses Capitol Village, San Leon, and Autumn Chase Apartment complexes for housing CHEP clients. In some cases, Caritas issues a rent check to the client, in other cases Caritas issues the check directly to the apartment company. Some apartments give the agency a discount in the form of a reduced

deposit. The building managers frequently provide the keys ahead of time, and then later the case manager helps the client to understand and sign the lease for six months.

In recent months, the Austin program has relied on jobs for C/H clients with: the University of Texas Food Service; the Summit of West Lake (CNAs for a nursing home); Seton Hospital; Chipotle; BG Personnel; and janitorial/maintenance jobs. Most jobs for C/H clients range from \$8 to \$10 per hour; most positions have benefits available. The majority of job connections are provided through the agency's contacts; although, some C/H clients are able to network within their own community for job leads. Caritas has a good working relationship with Job Corps, and has been able to get some young CHEP clients into this program. Austin CHEP employment outcomes at 180 days for free case, employable adults, were 90% in FY 2011. FY2012 employment outcomes at 180 days for free case, employable adults, were 80%, based on CHEP clients resettled on or before 12/31/11.

Austin staff reported that most clients are arriving with a two-year I-94. In previous years, there was sometimes a problem with a one-year document being issued, despite the regulations requiring a two-year I-94 be issued to CHEP border crossers. Usually, CHEP clients are scheduled for a health screening after they arrive; screenings are on Wednesdays and Thursdays only, and clients get their initial appointment within 10 days of arrival. As most EADs for CHEP cases are processed through Miami, most clients have been receiving their EAD cards within one week of arrival in Austin. The Social Security Card can take two to three weeks to arrive after the initial application. RCA is a simple internal referral, as Caritas has a state contract for RCA. For food stamps and Medicaid, this can take three weeks after initial application to start. The Centralized Benefit Office in Austin is still using a fax-only application system. Caritas provides supermarket gift cards for food in the first few weeks before food stamps, and clients also have access to the Caritas food pantry.

With limited assistance from the Austin Independent School District (ISD) coordinator, case managers interact directly with each school – and each school's administration has different policies for enrolling refugee/entrant children. CHEP children are less affected by this than refugee children, because many schools have bi-lingual staff who are used to dealing with Spanish-speaking families.

When Caritas hires new staff, the program manager will have a list of all the programs, and the manager explains all this to the new hire, and they are given a staff manual. The new hire will shadow other staff for two weeks, and the program manager will see them once or twice a week for review. As they grow more confident, the new staff member will receive more cases. For a period of six months, they are evaluated once a month. New hires also participate in regular staff trainings and go through 'Caritas University' which covers confidentiality issues. Caritas recently incorporated staff trainings in Mental Health First Aid, and an in-service by a social worker from the Texas Child Protective Services division.

CHEP Case File Review:

The USCCB/MRS staff member reviewed 10 C/H case files. For each file reviewed, the checklist of core services was consistently completed in the files reviewed, and a resettlement

plan was completed for each member of the case. Case notes were thorough and helpful in following the progress of the case. The case notes showed regularly documented home visits to C/H clients. Although the files were largely free of compliance issues, the USCCB/MRS reviewer did note that at least one case file was missing a copy of the 180-day C/H report. (see recommendation #1)

Home Visits:

CHEP Home Visits				
	Nationality	Country of Processing	Case Size	Date of Parole
1.	Cuban	Canadian border crosser	2	2/21/2012
2.	Cuban	Southwest border crosser	1	4/22/2012

The USCCB/MRS reviewer conducted two home visits: a young Cuban married couple and a single Cuban woman. Home visits demonstrated consistent and ongoing contact between the agency and the clients. There was evidence that C/H core services had been provided and that apartments were properly furnished. Housing was in a safe neighborhood.

The young Cuban couple told the USCCB/MRS reviewer that they had moved to Spain, and stayed long enough to become Spanish citizens. After losing their jobs due to the bad economy, they decided to move to the U.S. for more opportunity. They obtained a tourist visa for Canada, and crossed the U.S./Canada border at Niagara Falls in February 2012. They went directly to Miami, where they spent 20 days. Once approved for the CHEP program, they took a flight to Austin, living with friends for about two weeks. In early April, they moved into an apartment, where this home visit was performed. They reported being satisfied with services from Melissa and Yvonne. They gave high praise to the employment orientation provided by Caritas. The reviewer remarked that they both seemed highly motivated to work and to improve their English levels. The husband was working for Samsung and the wife had a cleaning job at EBay-PayPal.

The young single woman briefly recounted her journey, mostly on foot or by bus, through eight Latin American countries, on her way to the U.S. She crossed the U.S./Mexico border in mid-April 2012. Nivea picked her up at the airport and brought her to the apartment; Sally is her case manager. She told the USCCB/MRS reviewer that she had studied food preparation and hair styling in Cuba, but that she was open to any job opportunity. She reported being satisfied with the case management and employment services offered by Caritas.

CHEP Financial Review:

The USCCB/MRS reviewer met with Ms. Susan Hartenstein, the CFO who is responsible for C/H program finances, to discuss financial review practices within the agency. In billing for office space, the agency uses only FTEs to determine costs. For client assistance expenditures, each case manager has the supervisor sign off on expenditures, and then these are submitted to Tiffany Braymen, a bookkeeper in accounting. C/H expenditures are reviewed monthly to maintain fiscal accuracy and truthfulness. Only a small number of clients needed to access C/H emergency funds in FY12; Ernesto Cuesta approved all emergency expenses via email.

The reviewers consistently saw that clients received the full \$1200/client; family reunion cases received the required \$200/client. The most recent agency audit, including the A-133 audit, was performed in December 2011. There were no findings in the A-133 audit report.

CHEP Conclusion:

Caritas of Austin's C/H-funded staff demonstrated a comprehensive knowledge of the C/H program. Employment outcomes are above average, and employment staff showed energy and dedication in helping clients to find suitable jobs. CHEP case managers displayed a real attention to detail, and supervisory staff showed a sensitivity to staff training needs, including stress management. USCCB/MRS is appreciative of the important role Caritas of Austin plays in its CHEP network of providers.

CHEP Recommendations:

Recommendations Listed as Follows:

1. With reference to the case file review section of this report, the agency should ensure that, for cases that have reached the 180th day, a copy of the CHEP 180-Day Report submitted to USCCB/MRS Miami, is placed in the file.

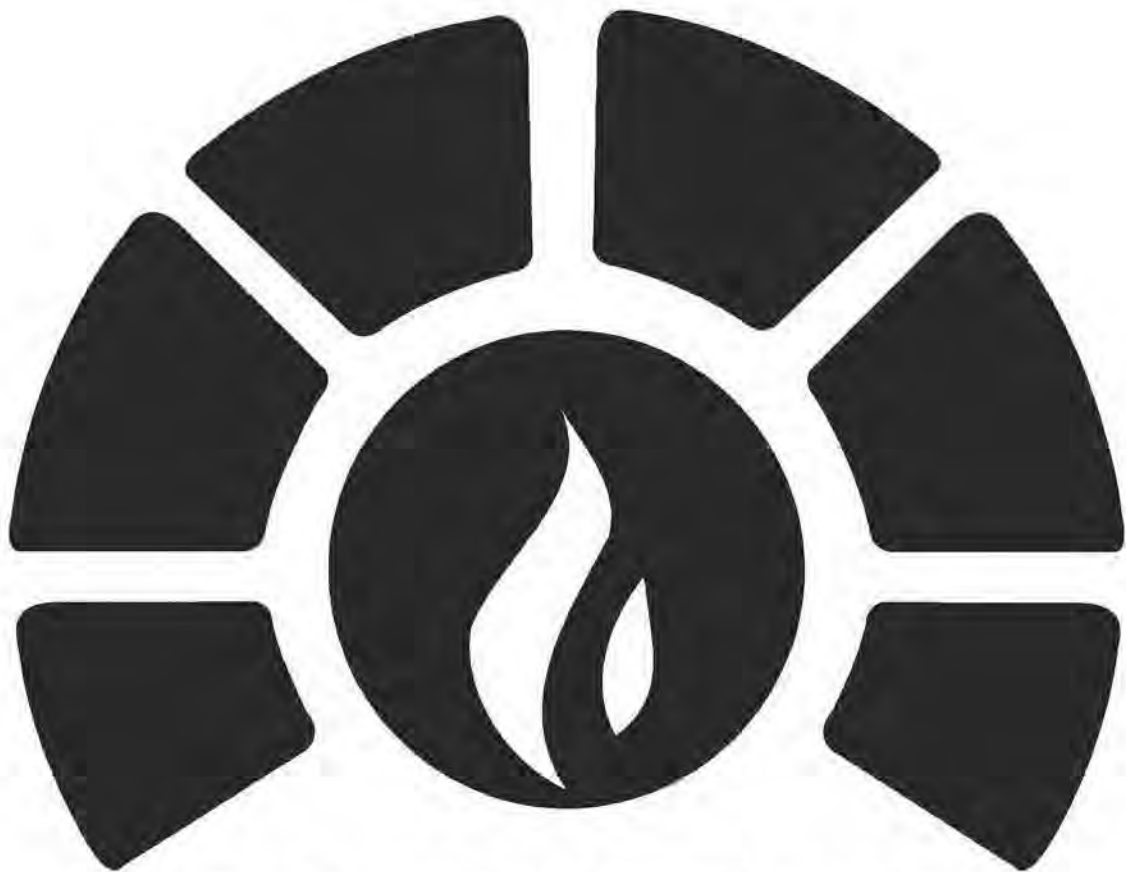
Previous Recommendations Update Report	
2011 Recommendations	Status of 2011 Recommendations in 2012
CHEP Recommendations	
Program Compliance	
<i>There were no formal recommendations made for the CHEP FY11 on-site review.</i>	

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

HHSC, Office of Immigration and Refugee Affairs

Refugee Cash Assistance (RCA) Program Monitoring Report



CARITAS



TEXAS HEALTH AND HUMAN SERVICES COMMISSION

THOMAS M. SUEHS
EXECUTIVE COMMISSIONER

June 26, 2013

Adelita Winchester, Department Director
Caritas of Austin
611 Neches Street
Austin, TX, 78701

RE: Office of Immigration and Refugee Affairs, Texas Health and Human Services Commission (HHSC), Refugee Cash Assistance (RCA) Program Monitoring.
Contract Number: 529-13-0021-00004

Dear Ms. Winchester:

This letter is to inform you that the Office of Immigration and Refugee Affairs has completed its on-site monitoring review of the visit that took place on May 9 thru May 13, of 2013. The report contains information about the Refugee Cash Assistance (RCA) program, the nature of this visit, and the results of the visit.

Within the report you will discover that there are no findings recorded within, however, there is one recommendation and one requirement listed. The change needed that is stated in the listed requirement will need to be made immediately and displayed in the client files for the next visit. The listed recommendation is not a requirement but is strongly encouraged to become regular practice of your RCA program.

A simple acceptance confirmation from Caritas of Austin, via email, will be needed for this report. Simply maintain these documents for your RCA record.

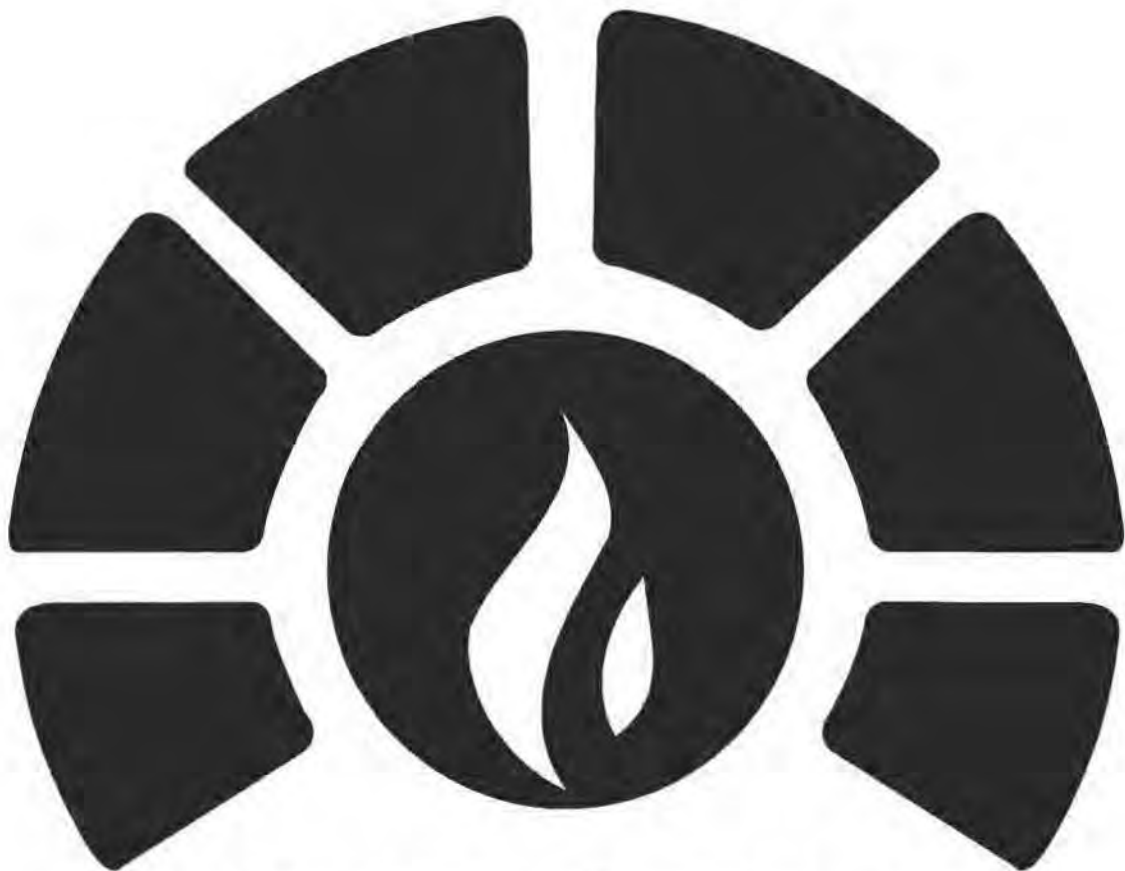
If you have any questions regarding the monitoring site visit or its review, please contact me Dustin Butler at (512) 206-5669 or my e-mail dustin.butler@hhsc.state.tx.us or Caitriona Lyons at (512) 206-5076

I appreciate your outstanding performance during this visit and I look forward to working with you all throughout this fiscal year.

Sincerely,

Dustin Butler
Program Specialist
Office of Immigration and Refugee Affairs
Texas Health and Human Services Commission
909 West 45th Street, MC # 2010,
Austin, TX 78751
Phone: 512-206-5669
Email: Dustin.Butler@hhsc.state.tx.us

Caritas of Austin
Mental and Behavioral Health Services (MBHS)
Texas Department of Housing and Community Affairs
Emergency Solutions Grant Program
Monitoring Report



CARITAS



TEXAS DEPARTMENT OF HOUSING AND COMMUNITY AFFAIRS

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October 16, 2013

Ms. Jo Kathryn Quinn
Executive Director
Caritas of Austin
611 Neches St.
Austin, TX 78701

RE: Monitoring Report of *On-Site* Review Conducted October 7, 2013
ESG Contract No. 42110001499

Dear Ms. Quinn:

The Texas Department of Housing and Community Affairs (the Department) conducted a monitoring review of the above mentioned contract. The goal of the review was to provide reasonable but not absolute assurance regarding compliance with federal and state requirements and program objectives.

To achieve this goal, a sample of activities were randomly selected and tested. The attached report details the scope and results of the review.

Based on the limited scope of the review, no findings were identified. Please note although there were no findings, it is Caritas of Austin's responsibility to maintain compliance throughout the contract and affordability period. No further action is necessary in addressing this review. This review has been closed.

The Department wishes to express our appreciation for the cooperation of your staff in facilitating this review. If you have any questions or concerns regarding this review, please feel free to contact me at (512) 475-4608 or via email at earnest.hunt@tdhca.state.tx.us.

Sincerely,

Earnest Hunt
Manager – Contract Monitoring

ELH

cc: Michael De Young, Director of Community Affairs
Sharon Gamble, TDHCA Project Manager of Community Affairs
Susan Hartenstein, CFO Caritas of Austin



Monitoring Scope:

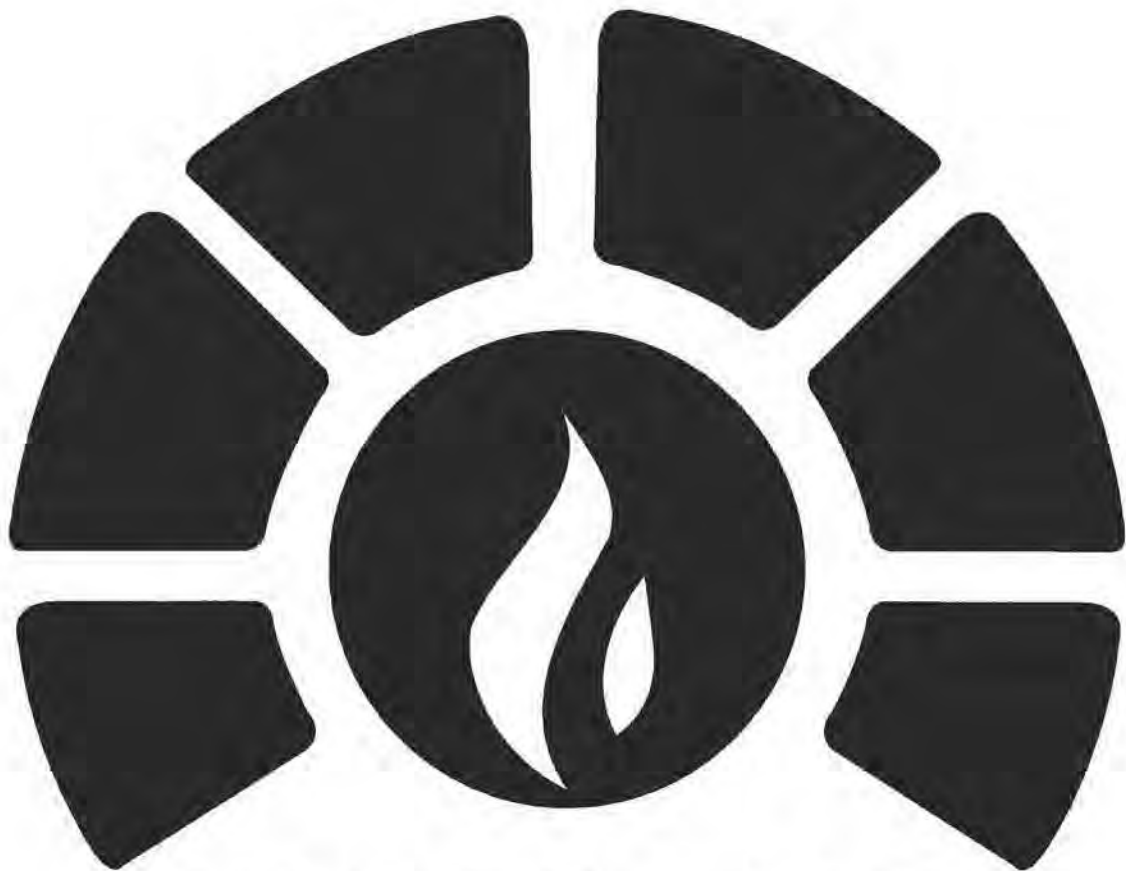
The scope of the monitoring review covered contract activity from October 1, 2012 to September 30, 2013 to determine if ESG funds were used to assist eligible households and whether those funds were expended in accordance with applicable federal and state regulations and contractual requirements. Department staff conducted the following steps:

- A review of financial records.
- A review of match records.
- A review of procurement records.

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

Section 0645—Staff Positions and Time



CARITAS

Program Staff Positions and Time

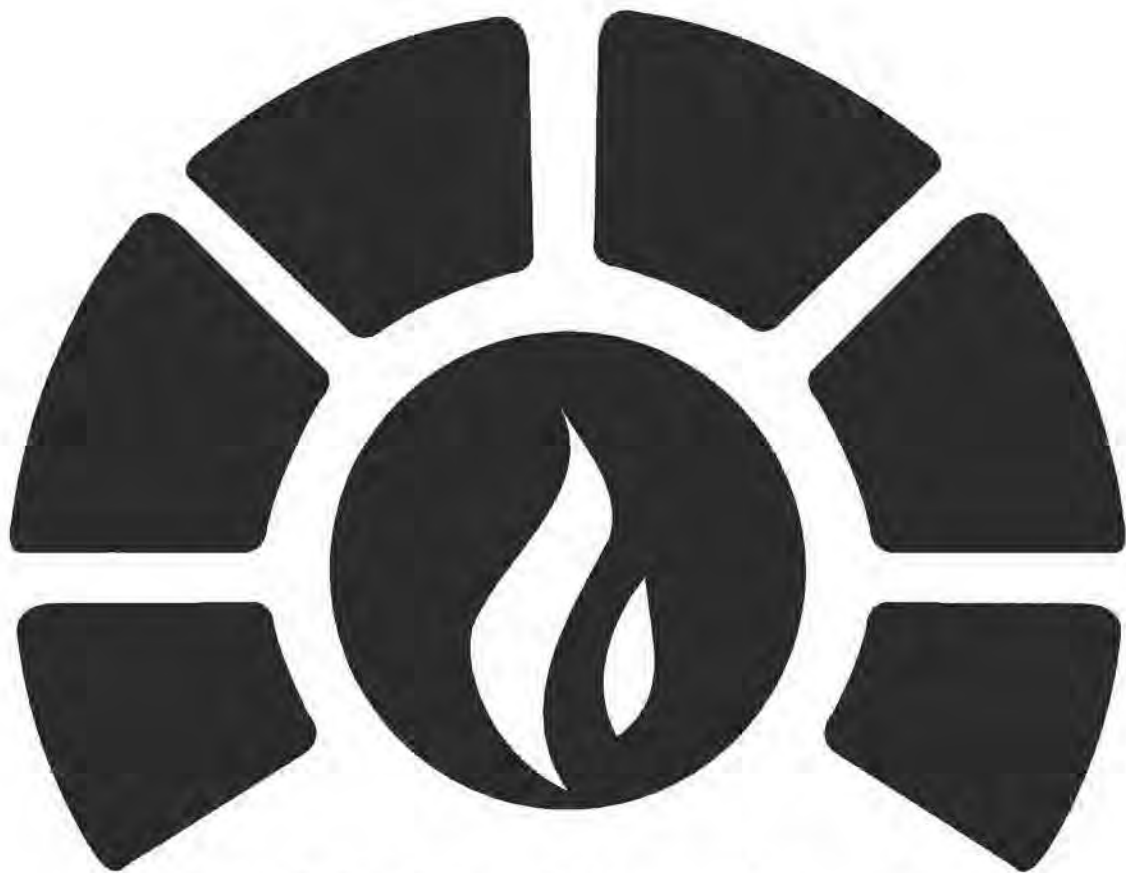
List this program's position titles only (do not include staff names) and provide the corresponding number of Full Time Equivalent (FTE) positions which are assigned to this specific program.

[illegible]

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

Job Descriptions for Staff Listed on Section 0645-Program Staff Positions and Time



CARITAS



CARITAS OF AUSTIN

Fighting Poverty, Hunger and Homelessness since 1964

Job Description

Job Title:	Case Manager (Housing Programs)
Department:	Housing Services
Reports To:	Housing Programs Manager
FLSA Status:	Exempt

Position Summary

The Permanent Supportive Housing case manager is responsible for providing case management services to single adult unaccompanied residents of Caritas' housing programs. Professional responsibilities are: outreach, intake/assessment, development of an on-going self-sufficiency service plan based on the three basic areas of income, housing, and self-care; referral to other social service agencies and community resources for appropriate assistance plus follow-up on referrals, client advocacy, education and training. Creating and maintaining good working relationships with the property manager of the site is also an expectation. Other professional actions may include referral to substance abuse and detoxification and mental health facilities (residential and outpatient treatment). The goal of case management is to hold a space for the tenant to process the issues that contributed to their homeless status, to provide objective feedback and to assist the client in making a planned transition from a chronic homeless lifestyle to stability in income, housing and self-care.

Essential Duties & Responsibilities

1. Screen potential participants for program eligibility, document intake data and presenting problems of clients and assess client needs.
2. Provide comprehensive case-managed services.
3. Provide regular and timely opportunities for face to face meetings to assure participant's progress toward self-sufficiency.
4. Link participants with other agencies and organizations that assist with educational and career planning.
5. Develop contacts with public and private sectors for education and training opportunities.
6. Examine and evaluate goals, objectives and operations of the Permanent or Transitional Supportive Housing program (as appropriate) with the Program Manager.
7. Confer with other case managers to determine best integration of activities and resources for clients within the agency and community.
8. Work with the Program Manager to develop and maintain necessary contracts for service.
9. Engage in appropriate teamwork functions in order to provide a professional working environment and effective service delivery.
10. Manage case data by documenting client contacts, goals and outcomes in the Service Point data base system. Prepare and maintain accurate records and reports for the agency and grantor.
11. Participate in regular staffing meetings with other Caritas Housing Programs staff, monthly department meetings, and monthly all-staff meeting.
12. Monitor expenses and provide fiscal management of client assistance as needed by accounting department.
13. Perform other duties as required.

Qualifications

EDUCATION & EXPERIENCE

Bachelor's Degree in Social Work or related field; Master's Degree in Social Work or related field preferred
Social Work certification/license preferred

1 - 2 years of experience working with dual diagnosis clients (substance abuse and mental illness) and/or the homeless population.

Dependable transportation required

COMPUTER SKILLS

Experience working with various software programs: word processing, spread sheet and database.

Competencies

Job Knowledge/Technical Knowledge: Demonstrates a sound working knowledge of current role and the technical systems, applications and equipment used in performing this role, and understands the impact this role has on other business functions within the organization

Communication: The ability to write and speak effectively using appropriate convention based on the situation; actively listens to others, asks questions to verify understanding, and uses tact and consideration when delivering feedback to others

Organization: Uses time efficiently by prioritizing and planning work activities

Integrity and Respect: Demonstrates upmost level of integrity in all instances, and shows respect towards others and towards company principles

Judgment: Demonstrates ability to make independent and sound decisions in all situations

Teamwork: Shares key information with others involved in a project or effort, works in harmony to accomplish objectives, responds with enthusiasm to directives, and shows support for departmental and organizational decisions

Quality: Sets high standards and measures of excellence to ensure quality assurance in every aspect of work performed

Accountability: Takes personal responsibility and ownership for adhering to all company policies and procedures while also completing work timely and in accordance with performance expectations

Customer Service: The ability to demonstrate a series of activities designed to enhance the level of customer satisfaction.

Interpersonal Communication: Writes and speaks effectively based on the psychological, relational, situation, environmental and cultural dynamics within the situation

Manages Change: Demonstrates effectiveness and flexibility with changing environments, responsibilities, tasks, and people

Attention to Detail: Follows detailed procedures to ensure accuracy in the entry and reporting of data.

Problem Solving: Identifies and resolves issues timely by gathering and analyzing information skillfully

Physical Demands

- Maintaining body equilibrium to prevent falling when walking, standing or crouching on narrow or slippery surface.
- Substantial movements (motion) of the wrist, hands, and/or fingers in a repetitive manner
- Uses personal computer approximately 6-7 hours per day
- Uses telephone and email to communicate with clients and other professionals, approximately 2-4 hours per day.
- Sits approximately 6-7 hours per day.
- Exerting up to 20 pounds of force occasionally to lift, carry, pull, or otherwise move objects
- Bending, stooping and reaching several times through a shift.
- Must be able to see clearly with or without corrected vision.
- Ability to drive to and from client locations, this may involve sitting for extended periods of time.
- Manual dexterity sufficient to reach/handle items and work with the fingers
- Close vision (clear vision at 20 inches or less); distance vision (clear vision at 20 feet or more); color vision (ability to identify and distinguish colors)

Work Environment

- Well-lighted, heated and/or air-conditioned indoor office setting with adequate ventilation
- Moderate noise (examples: business office with computers and printers)

Work Hours/Schedule

- Regular – Normal work hours and days assigned based on a work week of at least 40 hours.

CARITAS OF AUSTIN

POSITION: Certified Peer Support Specialist
REPORTS TO: Director of Housing Services
EMPLOYMENT STATUS: Hourly

Position Summary: This position is an integral member of the Mental and Behavioral Health Services (MBHS) team. Utilizing their unique recovery experience, the Peer Recovery Specialist will provide a recovery perspective for the team, as well as advocate and support each individual served in developing their goals for recovery.

Work Relationships and Scope: Reports directly to Director of Housing Services

Engagement: Peer recovery specialists facilitate the development of recovery skills, and act as a role model to inspire hope, share experiences, demonstrate coping skills and lessons learned from their recovery journey.

Peer Related Responsibilities:

Demonstrates cultural sensitivity and cultural competence.

From a recovery perspective, provide a strength-based assessment the individual's abilities, strengths, and assets.

Encourage the development of a symptom management "toolkit" for individuals by providing recovery based education, and support.

Assist the individual in the development and implementation of an Individual Treatment Plan.

Provides observation of individual's capacity and functioning and reports any changes to the Caritas case manager.

Job Related Duties

Participate in the intake process with assigned case managers upon acceptance of new referrals.

Attends and participates in staff meetings, in-service training seminars and conferences as required.

Works with individual's collateral and community contacts to promote continuity of care.

Support community or office based MBHS planning.

Participate in conducting home and community visits with assigned case managers.

Assist clients with their process of stabilization and recovery in community based crisis facilities, as coordinated by assigned case manager.

Facilitates psychosocial or other self-help, recovery based groups to engage individuals in recognizing and understanding early triggers or signs of relapse, and assist in the development of coping strategies.

Other job related duties as may be necessary to carry out the responsibilities of the position.

Performance Expectations:

Is friendly to and respectful to individuals served.

Conducts oneself in a professional manner.

Adheres to policy regarding workplace appearance and dress standards.

Communicates respectfully and effectively with team members, and other work related contacts.

Is reliable and reports to work on time.

Understands and adheres to TLS policies and procedures.

Knowledge, Skills, and Abilities:

Peer Support Specialist Certificate (preferred) or must obtain certification within one year of hire date.

High School Diploma or GED.

Minimum of one (1) year of experience working with individuals affected by mental illness (preferred).

Ability to relate to individuals experiencing mental illness, psychiatric crisis and/or other co-occurring disorders.

Demonstrated proficiency in reading, writing and computer documentation.

Maintained at least 12 months of successful full or part-time paid or voluntary work experience within the last three (3) years.

Ability to work independently and as a member of a team.

Computer proficiency in Microsoft Word.

Ability to lift at least 30 pounds.

Ability to bend, lift, stoop, pull and carry in order to participate in the demonstration of individual training activities or to assist in fire drill or disaster procedures.

Must have a valid driver's license and auto insurance that meets agency guidelines

Working Conditions:

Hours of work will vary and will be set in conjunction with the needs of MBHS programming, open Monday through Friday.

Acknowledgement: This job describes the general nature and level of work performed by employment assigned to this position. It does not state or imply that these are the only duties and responsibilities assigned to the job. All requirements are subject to change and subject to possible modification to accommodate an employee with a disability.

Caritas of Austin

Job Description

Job Title:	Director, Housing Services Department
Department:	Housing Services
Reports To:	Executive Director
FLSA Status:	Exempt

Position Summary

The Director of Housing Services provides comprehensive management and oversight to the housing services department thereby ensuring that the agency is achieving its stated vision related to housing. The Director is aligned with the philosophy of Caritas of Austin that everyone has a right to safe and affordable housing. Caritas of Austin delivers homelessness prevention and intervention services to those in the community most vulnerable to homelessness. The position serves as an integral part of the agency executive management team, leadership team and grants team, working cooperatively to ensure the accomplishment of the agency's strategic goals. This is a full time, exempt position.

Essential Duties & Responsibilities

Department Management

Plans, develops, implements and maintains housing services programs

Staffing and Supervision

Hires, trains, supervises, helps develop, and evaluates program managers. Ensures like functions are being positively and appropriately conducted by program managers (for the staff they supervise.) Leads the departmental team in developing their skills, a positive morale, and positive working relationships, reflective of agency philosophy. In concert with the Executive Director and HR, problem solves HR issues up to and including termination of staff.

Communication and Interdepartmental Cooperation

Ensures communication so that program staff is aware of agency happenings and that other management staff is fully aware of issues impacting the housing services department – problems and successes. Communicates proactively with other departments to ensure that agency services are coordinated and working in tandem with each other thereby ensuring an array of integrated, complimentary agency services.

Leadership

Serves on the management team and the leadership team to assist cooperatively in agency planning, communication, and problem solving and program enhancement and to ensure that the agency meets its strategic goals and is responsive to changing community needs. Serves on the grants team and works cooperatively with other departments to ensure that developments, finance and programs and services are well coordinated.

Program Evaluation and Reporting

Responsible for designing, implementing and maintaining a system for documenting the effectiveness and efficiency of services. Responsible for setting and achieving annual performance goals (outcomes and outputs) for the department programs. Ensures systems for counting, collecting and reporting on both

Caritas of Austin

Job Description

outputs and outcomes. Uses results from evaluation to continuously improve agency services and ensure client satisfaction.

Compliance

Ensures program compliance with funder requirements. Submits programmatic progress reports to funders as required. Works cooperatively with funders to ensure positive relationships.

Budget/Finance

Responsible for ensuring that the programs are operating within program and grant budgets. Assists in the annual budget setting process. Works with the grants team on securing new and renewed funding for the program as requested.

Community relationships

As directed by the Executive Director, represents Caritas on various community or regional task forces or committees. In this instance, ensures that Caritas is recognized as a leader, expert, and cooperative partner with other agencies and organizations.

Risk and grievance

Responsible for the ongoing assessment of potential risk to program clients, staff and volunteers. Works with staff to ensure proper notification of program/client/staff/volunteer risk. Addresses volunteer and client grievances, and uses the grievance system to determine if systemic changes are necessary and advised.

Mission and Policy

Works within the agency mission and philosophy, and adheres to agency policies and procedures

Other duties as assigned

Qualifications

EDUCATION & EXPERIENCE

Master's degree in social work administration or related field. BA in social work or related field plus a minimum of 7 years of experience can be substituted for Master's degree.

Minimum of five years of experience in management of social service programs, including at least three years mid-level management experience.

COMPUTER SKILLS

All Microsoft Office Suite applications, internet research, online timekeeping system.

Competencies

Knowledge of client population, affordable housing issues, local housing programs, partners, procedures and community services required.

Caritas of Austin

Job Description

Oversight of multiple programs with budget responsibility required. Multi contract (government and private) compliance oversight experience required.

Cultural knowledge and sensitivity required; international knowledge preferred.

Personnel management, budget management, contract compliance, community engagement, ability to manage community partnerships, public policy advocacy, coalition-building, strong communication skills both written and verbal, ability to envision and implement solutions for ending homelessness in Austin/Travis County. Ability to maintain already established diverse partnerships and strategic alliances.

Ability to work collaboratively with other Caritas Directors and staff across all agency programs.

Job Knowledge/Technical Knowledge: Demonstrates a sound working knowledge of current role and the technical systems, applications and equipment used in performing this role, and understands the impact this role has on other business functions within the organization

Communication

The ability to write and speak effectively using appropriate convention based on the situation; actively listens to others, asks questions to verify understanding, and uses tact and consideration when delivering feedback to others

Organization: Uses time efficiently by prioritizing and planning work activities

Integrity and Respect: Demonstrates upmost level of integrity in all instances, and shows respect towards others and towards company principles

Judgment: Demonstrates ability to make independent and sound decisions in all situations

Teamwork: Shares key information with others involved in a project or effort, works in harmony to accomplish objectives, responds with enthusiasm to directives, and shows support for departmental and organizational decisions

Quality: Sets high standards and measures of excellence to ensure quality assurance in every aspect of work performed

Accountability: Takes personal responsibility and ownership for adhering to all company policies and procedures while also completing work timely and in accordance with performance expectations

Customer Service

The ability to demonstrate a series of activities designed to enhance the level of customer satisfaction.

Interpersonal Communication: Writes and speaks effectively based on the psychological, relational, situation, environmental and cultural dynamics within the situation

Manages Change: Demonstrates effectiveness and flexibility with changing environments, responsibilities, tasks, and people

Attention to Detail: Follows detailed procedures to ensure accuracy in the entry and reporting of data.

Problem Solving: Identifies and resolves issues timely by gathering and analyzing information skillfully

Physical Demands

- Maintaining body equilibrium to prevent falling when walking, standing or crouching on narrow or slippery surface.
- Substantial movements (motion) of the wrist, hands, and/or fingers in a repetitive manner
- Uses personal computer approximately 6-7 hours per day
- Uses telephone and email to communicate with clients and other professionals, approximately 2-4 hours per day.
- Sits approximately 6-7 hours per day.

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- Exerting up to 20 pounds of force occasionally to lift, carry, pull, or otherwise move objects
- Bending, stooping and reaching several times through a shift.
- Must be able to see clearly with or without corrected vision.
- Ability to drive to and from client locations, this may involve sitting for extended periods of time.
- Manual dexterity sufficient to reach/handle items and work with the fingers
- Close vision (clear vision at 20 inches or less); distance vision (clear vision at 20 feet or more); color vision (ability to identify and distinguish colors)

Work Environment

- Well-lighted, heated and/or air-conditioned indoor office setting with adequate ventilation
- Moderate noise (examples: business office with computers and printers)
- Conditions may include working inside, working around machines with moving parts and moving objects, radiant and electrical energy, working closely with others, working alone, working protracted or irregular hours, and traveling by car, van, bus, and airplane.
- Equipment (machines, tools, devices) used in performing only the essential functions include computer and related equipment, typewriter, calculator, copier, fax machine, telephone, and automobile.

Work Hours/Schedule

- Regular – Normal work hours and days assigned based on a 40+-hour workweek.

Caritas of Austin

Job Description

Job Title:	Chief Financial Officer
Department:	Finance
Reports To:	Executive Director
FLSA Status:	Exempt

Position Summary

The Chief Financial Officer supervises all accounting and financial activities of the organization as well as oversees human resources and agency technology/network systems. The position serves as an integral part of the agency management team, leadership team and grants team, working cooperatively to ensure the accomplishment of the agency strategic goals. This is a full time, exempt position.

Essential Duties & Responsibilities

I. Departmental / Management

Provides overall management to the Finance Department, ensures that Caritas financial and accounting systems are operating in accordance with GAAP standards; that the agency is financially solvent; and that Caritas financial systems and controls are adequate to protect the assets and reputation of the agency.

- A. Accounts payable and receivable
 - 1. Develops, maintains and directs system for purchasing and paying for goods and services, utilizing standard business practices.
 - 2. Develops, maintains and directs system for processing client assistance checks – including functions required for interagency partnerships.
 - 3. Maintains security of all check stock and vouchers.
 - 4. Monitors cash balance requirements for operations.
 - 5. Oversee preparation of 1099s and compliance with all regulations.
- B. Financial records and reports
 - 1. Prepares and presents monthly financial report for the Executive Director and Board of Directors.
 - 2. Prepares program reports as needed for staff use.
 - 3. Analyze profitability of development mailings and special events.
 - 4. Maintains all records, in accordance with generally accepted accounting procedures, as required or needed by the organization.

II. Payroll

Supervises the processing of payroll and payroll tax reports

- A. Ensures that cash is available for payroll.
- B. Reviews payroll entry for proper payment and coding.
- C. Ensures that all payroll filings/tax returns are completed timely and accurately.
- D. Oversee preparation of W-2s.

III. Supervision / Training

- A. Hires, trains, supervises, evaluates and releases (if necessary and in conjunction with the Executive Director) the finance staff
- B. Plan and work with Education Manager to schedule needed HR and OSHA trainings.

IV. Banking / Investments

Caritas of Austin

Job Description

- A. Manage banking relationships to ensure that fees are kept low and that balances are sufficient to carry on the business of the agency.
- B. Establish policies and procedures to help prevent fraudulent activity in the agency's cash accounts.
- C. Ensure that the agency's investment policy is followed while obtaining the highest possible return on investments.

V. Budget

Responsible for the annual budget process, including:

- A. Works with the Board, Executive Director and Management Team to prepare a budget that meets the strategic goals of the agency.
- B. Directs and guides the development of annual organization budget by department and by program and provides support and assistance to agency management in the development of line item budgets.
- C. Provides and reviews quarterly reports for program management, assisting them in understanding and utilizing budgets.
- D. Monitors and recommends budget adjustments as required during the fiscal year.

VI. Grants Development and Management

Responsible for overall financial management of governmental grants:

- A. Provides complete support and assistance in developing all (governmental and philanthropic) grant budgets.
- B. Monitors and recommends revisions to governmental grant budgets as necessary.
- C. Monitors grants to assure expenses are allowable and to assure all grant funds are expended.
- D. Oversees preparation and submission of grant reimbursement requests and monitors payments.
- E. Serves as Caritas liaison to the finance staff at grantors offices as required.

VII. Audit / Tax Return

Responsible for ensuring that Caritas's annual audit is completed in a timely manner and without findings and that tax return is completed accurately and timely.

- A. Coordinates with the auditor/tax preparer as required.
- B. Prepares all audit work papers and assures that all reports and records are in auditable condition.
- C. Assists auditors as required.

VIII. Purchasing / Inventory / Fixed Assets

Ensures that the agency has reasonable and accountable policies and practices in place, and that they are followed for purchasing and accounting, fixed assets and accounting of donations and

- A. Assesses needs for fixed assets items, develops a plan for purchase, replacement and maintenance of agency equipment.
- B. Maintains fixed asset records
- C. Maintains in-kind donation records

IX. IT / Technology

Ensures that agency technology and network is adequate to meet the growing needs of the agency

Caritas of Austin

Job Description

A. Assesses and plans for agency technology needs (hardware, software, network and internet, phone system and intranet)

B. Ensures repair and maintenance of agency technology equipment

C. Ensures that staff are adequately trained on use of agency technology

X. Insurance

Lead staff in making sure that agency insurance needs are taken care of, serves as liaison to insurance broker

A. Board liability

B. General liability

C. Vehicle insurance

D. Worker's compensation

E. Employee benefits

XI. Interagency Management / Teamwork

A. Works as part of the management team and leadership team to provide leadership and ensure that the agency meets its strategic goals.

B. Serves on the grants team and works cooperatively with other departments to ensure revenue, programs and services are well connected and working in concert with the finance department

C. Participates in Development special events/fundraising.

XII. Policy Development

A. Serves on the Finance and Monitoring committee; provides the volunteer leadership with required information to make decisions or ensure accountability; and acts as staff liaison to the committee in the absence of the Executive Director.

B. Develops, recommends and maintains financial policies in conjunction with the Finance and Monitoring Committee; develops and maintains procedures necessary to implement policies.

Qualifications

EDUCATION & EXPERIENCE

Required: Bachelor's degree in accounting, equivalent or better.

CPA preferred.

Five years experience in non-profit accounting with at least three years of supervisory experience. MIP experience preferred with excellent accounting skills and comprehensive knowledge of acceptable accounting procedures.

Facility and IT management preferred.

COMPUTER SKILLS

All Microsoft Office Suite applications, internet research, online timekeeping system.

Competencies

Job Knowledge/Technical Knowledge: Demonstrates a sound working knowledge of current role and the technical systems, applications and equipment used in performing this role, and understands the impact this role has on other business functions within the organization

Communication

The ability to write and speak effectively using appropriate convention based on the situation; actively listens to others, asks questions to verify understanding, and uses tact and consideration when delivering feedback to others

Organization: Uses time efficiently by prioritizing and planning work activities

Caritas of Austin

Job Description

Integrity and Respect: Demonstrates upmost level of integrity in all instances, and shows respect towards others and towards company principles

Judgment: Demonstrates ability to make independent and sound decisions in all situations

Teamwork: Shares key information with others involved in a project or effort, works in harmony to accomplish objectives, responds with enthusiasm to directives, and shows support for departmental and organizational decisions

Quality: Sets high standards and measures of excellence to ensure quality assurance in every aspect of work performed

Accountability: Takes personal responsibility and ownership for adhering to all company policies and procedures while also completing work timely and in accordance with performance expectations

Customer Service

The ability to demonstrate a series of activities designed to enhance the level of customer satisfaction.

Interpersonal Communication: Writes and speaks effectively based on the psychological, relational, situation, environmental and cultural dynamics within the situation

Manages Change: Demonstrates effectiveness and flexibility with changing environments, responsibilities, tasks, and people

Attention to Detail: Follows detailed procedures to ensure accuracy in the entry and reporting of data.

Problem Solving: Identifies and resolves issues timely by gathering and analyzing information skillfully

Physical Demands

- Maintaining body equilibrium to prevent falling when walking, standing or crouching on narrow or slippery surface.
- Substantial movements (motion) of the wrist, hands, and/or fingers in a repetitive manner
- Uses personal computer approximately 6-7 hours per day
- Uses telephone and email to communicate with clients and other professionals, approximately 2-4 hours per day.
- Spends approximately 1-3 hours per day in meetings.
- Requires working under a moderate to high degree of stress (time constraints; deadlines; multi-tasking high-level projects and issues; complex issues; issues with broad organizational impact; and conflict resolution).
- Sits approximately 6-7 hours per day.
- Minimal travel is required (less than 10%).
- Exerting up to 20 pounds of force occasionally to lift, carry, pull, or otherwise move objects
- Bending, stooping and reaching several times through a shift.
- Must be able to see clearly with or without corrected vision.
- Ability to drive to and from client locations, this may involve sitting for extended periods of time.
- Manual dexterity sufficient to reach/handle items and work with the fingers
- Close vision (clear vision at 20 inches or less); distance vision (clear vision at 20 feet or more); color vision (ability to identify and distinguish colors)

Work Environment

- Well-lighted, heated and/or air-conditioned indoor office setting with adequate ventilation
- Moderate noise (examples: business office with computers and printers)

Work Hours/Schedule

- Regular – Normal work hours and days assigned based on a 40+-hour workweek.

Caritas of Austin

Job Description

Job Title:	Accounting Manager
Department:	Finance
Reports To:	CFO
FLSA Status:	Exempt

Position Summary

The Accounting Manager position provides direct support assistance to programs and assists in program administration. The Accounting Manager is responsible for processing payroll, monitoring grants, processing client assistance check requests, performing reconciliations, reviewing reports, preparing grant reimbursement requests and filing.

This position requires the ability to work well with staff at all levels. As this position is highly interactive with other departments and other agencies, it will require excellent written and verbal communication skills. Good interaction with other social services agencies and vendors is expected and essential. The candidate must possess excellent organizational skills.

Essential Duties & Responsibilities

1. Supervises two Accounting Assistants.
2. Process vouchers and cut checks for program disbursements on an as needed basis.
3. Process and record payroll on a bi-weekly basis.
4. Perform reconciliations of bank accounts.
5. Review grants to determine budget requirements and ensure compliance.
6. Review batch reports of Accounting Assistants.
7. Prepare monthly grant reimbursements.
8. Prepare month-end journal entries.
9. File documents on a timely basis.
10. Organize and maintain files.
11. Maintain listing of fixed assets.
12. Assist in the annual budgeting process.
13. Assist with annual audit and grantor audits.
14. Provide back-up for Accounting Assistants.
15. Perform other duties as required.

Qualifications

EDUCATION & EXPERIENCE

Bachelors or Associate degree from an accredited college/university with a major in Accounting preferred.
Nonprofit experience greatly preferred
Must have dependable transportation.

COMPUTER SKILLS

Must be proficient in Microsoft applications (Excel, Word, Outlook); Abila MIP experience preferred.

Competencies

Caritas of Austin

Job Description

Job Knowledge/Technical Knowledge: Demonstrates a sound working knowledge of current role and the technical systems, applications and equipment used in performing this role, and understands the impact this role has on other business functions within the organization

Communication

The ability to write and speak effectively using appropriate convention based on the situation; actively listens to others, asks questions to verify understanding, and uses tact and consideration when delivering feedback to others

Organization: Uses time efficiently by prioritizing and planning work activities

Integrity and Respect: Demonstrates upmost level of integrity in all instances, and shows respect towards others and towards company principles

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Teamwork: Shares key information with others involved in a project or effort, works in harmony to accomplish objectives, responds with enthusiasm to directives, and shows support for departmental and organizational decisions

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Problem Solving: Identifies and resolves issues timely by gathering and analyzing information skillfully

Physical Demands

- Maintaining body equilibrium to prevent falling when walking, standing or crouching on narrow or slippery surface.
- Substantial movements (motion) of the wrist, hands, and/or fingers in a repetitive manner
- Uses personal computer approximately 6-7 hours per day
- Uses telephone and email to communicate with clients and other professionals, approximately 2-4 hours per day.
- Sits approximately 6-7 hours per day.
- Exerting up to 20 pounds of force occasionally to lift, carry, pull, or otherwise move objects
- Bending, stooping and reaching several times through a shift.
- Must be able to see clearly with or without corrected vision.
- Manual dexterity sufficient to reach/handle items and work with the fingers
- Close vision (clear vision at 20 inches or less); distance vision (clear vision at 20 feet or more); color vision (ability to identify and distinguish colors)

Work Environment

- Well-lighted, heated and/or air-conditioned indoor office setting with adequate ventilation
- Moderate noise (examples: business office with computers and printers)

Work Hours/Schedule

- Regular – Normal work hours and days assigned based on a 40+-hour workweek.

Caritas of Austin

Job Description

Job Title:	Human Resources (HR) Coordinator / Sr. Accountant
Department:	Finance
Reports To:	CFO
FLSA Status:	Exempt

Position Summary

This HR Coordinator / Sr. Accountant position handles matters related to payroll and benefits. The HR Coordinator / Sr. Accountant is also responsible for handling all human resources related matters in consultation with the CFO and Executive Director.

This position requires the ability to work well with staff at all levels. As this position is highly interactive with other departments and other agencies, it will require excellent written and verbal communication skills. Good interaction with other social services agencies and vendors is expected and essential. The candidate must possess excellent organizational skills.

Essential Duties & Responsibilities

1. Coordinates new hire process (job posting, background checks, E-Verify)
2. Conduct new hire orientation to handbook policies, benefits, and timekeeping system
3. Assist in negotiating benefits contracts with vendor.
4. Process benefits and verify that deductions are handled properly.
5. Set up and maintain timekeeping system.
6. Correspond with the Accounting Manager regarding payroll issues.
7. Address personnel and HR issues (performance management, complaints, FMLA, grievances.
8. Handle workers compensation claims and correspond with insurance company.
9. Assists with policy development and updating employee handbook policies.
10. Review batch reports of Accounting Assistants and Staff Accountant.
11. Prepare month-end journal entries as needed.
12. File documents on a timely basis.
13. Organize and maintain files.
14. Assist in annual budgeting process.
15. Assist with annual audit and grantor audits.
16. Provide back-up to prepare and process payroll, and record in general ledger.
17. Provide back-up to prepare monthly grant reimbursements.
18. Provide back-up to update cash ledger on a daily basis and process stop payments on checks.
19. Provide back-up for Accounting Assistants and Staff Accountant.
20. Perform other duties as required.

Qualifications

EDUCATION & EXPERIENCE

Bachelor's degree from an accredited college/university required with a major in Accounting preferred.
Nonprofit experience greatly preferred.
Must have dependable transportation.

COMPUTER SKILLS

Must be proficient in Microsoft applications (Excel, Word, Outlook); MIP experience preferred

Caritas of Austin

Job Description

Competencies

- Job Knowledge/Technical Knowledge:** Demonstrates a sound working knowledge of current role and the technical systems, applications and equipment used in performing this role, and understands the impact this role has on other business functions within the organization
- Communication:** The ability to write and speak effectively using appropriate convention based on the situation; actively listens to others, asks questions to verify understanding, and uses tact and consideration when delivering feedback to others
- Organization:** Uses time efficiently by prioritizing and planning work activities
- Integrity and Respect:** Demonstrates upmost level of integrity in all instances, and shows respect towards others and towards company principles
- Judgment:** Demonstrates ability to make independent and sound decisions in all situations
- Teamwork:** Shares key information with others involved in a project or effort, works in harmony to accomplish objectives, responds with enthusiasm to directives, and shows support for departmental and organizational decisions
- Quality:** Sets high standards and measures of excellence to ensure quality assurance in every aspect of work performed
- Accountability:** Takes personal responsibility and ownership for adhering to all company policies and procedures while also completing work timely and in accordance with performance expectations
- Customer Service:** The ability to demonstrate a series of activities designed to enhance the level of customer satisfaction.
- Interpersonal Communication:** Writes and speaks effectively based on the psychological, relational, situation, environmental and cultural dynamics within the situation
- Manages Change:** Demonstrates effectiveness and flexibility with changing environments, responsibilities, tasks, and people
- Attention to Detail:** Follows detailed procedures to ensure accuracy in the entry and reporting of data.
- Problem Solving:** Identifies and resolves issues timely by gathering and analyzing information skillfully

Physical Demands

- Maintaining body equilibrium to prevent falling when walking, standing or crouching on narrow or slippery surface.
- Substantial movements (motion) of the wrist, hands, and/or fingers in a repetitive manner
- Uses personal computer approximately 6-7 hours per day
- Uses telephone and email to communicate with clients and other professionals, approximately 2-4 hours per day.
- Sits approximately 6-7 hours per day.
- Exerting up to 20 pounds of force occasionally to lift, carry, pull, or otherwise move objects
- Bending, stooping and reaching several times through a shift.
- Must be able to see clearly with or without corrected vision.
- Manual dexterity sufficient to reach/handle items and work with the fingers
- Close vision (clear vision at 20 inches or less); distance vision (clear vision at 20 feet or more); color vision (ability to identify and distinguish colors)

Work Environment

- Well-lighted, heated and/or air-conditioned indoor office setting with adequate ventilation
- Moderate noise (examples: business office with computers and printers)

Work Hours/Schedule

- Regular – Normal work hours and days assigned based on a 40+-hour workweek.



CARITAS OF AUSTIN

Fighting Poverty, Hunger and Homelessness since 1964

Job Description

Job Title:	Grants & Contracts Manager
Department:	Finance
Reports To:	Chief Financial Officer
FLSA Status:	Exempt

Position Summary

With guidance from the CFO, the Grants and Contracts Manager acquires and maintains thorough knowledge and understanding of the organization and its operations. Uses that knowledge to fully comprehend all projects and programs for which grants will be sought, as well as to recommend specific grants to increase government grant revenue.

Essential Duties & Responsibilities

- Works closely with Executive Director, Caritas Program Directors, Chief Financial Officer and Director of Development to identify service and program needs and develop an annual plan for submitting grant proposals from appropriate funding sources. Works with program staff to develop grant goals as well as reasonable outputs and outcomes.
- Compiles, writes, and edits all grant applications, in coordination with appropriate Caritas staff, exhibiting superior writing skills and a high-level command of grammar and spelling. Keeps in contact with grant-making organizations during their review of a submitted grant application in order to supply additional supportive material. Manages the process of supplying progress reports when required by a grant-making organization that has funded a project or program.
- Tracks and maintains grant reporting requirements as part of the grant implementation process and maintains an internal calendar of all grant reporting deadlines across the agency in collaboration with appropriate Program Directors and Chief Financial Officer. Provides appropriate grant summary reports to Program Directors, Chief Financial Officer, Executive Director and Director of Development. Schedules and leads monthly Grant Committee meetings.
- Develops and maintains effective working relationships with key funders and foundations. Tracks information on current and prospective funding sources, including funder guidelines, proposal and report deadlines and names of trustees, officers and key decision makers.
- Responsible for pre-award and post-award administration of federal, state, and private grants. Compiles and completes all reports to private foundations, government agencies, (city, county, state and federal) corporations, organizations and the faith based community.
- Identifies, researches and develops federal, state and/or private grant funding sources and communicates those opportunities to appropriate leadership. Evaluates, and tracks federal, state, and local funding opportunities. Gather and maintain information on local, state and national trends and statistics related to Caritas' programs.
- Maintains and analyzes background data on current and prospective grantors from various information sources including in-house records, publications, directories, online databases and individuals. Completes grant files on all proposal submissions and outcomes. For proposals not funded, include reasons for denial and recommendations for future submissions.
- Ability to work on special projects at the discretion of the Director of Development. These projects may include but are not limited to working on agency special events.

Qualifications

EDUCATION & EXPERIENCE

Undergraduate degree in Social Work, English, Journalism, or similar field

Requires two years of government and philanthropic grant writing and grants administration. Experience with social services, homelessness or refugee issues, government contracts and private funding sources is preferred.

COMPUTER SKILLS

Computer experience, familiarity with Internet-based research and desktop publishing skills, proficiency with MS Word, MS Excel, Power Point & database software are essential.

Competencies

Grant writing Skills: Demonstrated superior written communication skills, with emphasis on grant proposals and clear, persuasive correspondence. Highly developed attention to detail, the ability to prioritize appropriately, make independent decisions and work well under tight deadlines. Must be able to work fast, be output oriented, and produce high quality work in a short amount of time. The scope of the position requires a strong proficiency in planning and executing multiple long-term projects simultaneously. Demonstrated ability to assess trends and translate concepts into practical applications.

Job Knowledge/Technical Knowledge: Demonstrates a sound working knowledge of current role and the technical systems, applications and equipment used in performing this role, and understands the impact this role has on other business functions within the organization

Communication: Must have the ability to work independently and as a member of a team. Calmness and efficiency needed to perform activities involving many details and frequent changes and strong communication skills. Effectively and collaboratively work across departments with all Program Directors, the Chief Financial Officer, Director of Development and Executive Director.

The ability to write and speak effectively using appropriate convention based on the situation; actively listens to others, asks questions to verify understanding, and uses tact and consideration when delivering feedback to others

Organization: Uses time efficiently by prioritizing and planning work activities

Integrity and Respect: Demonstrates upmost level of integrity in all instances, and shows respect towards others and towards company principles

Judgment: Demonstrates ability to make independent and sound decisions in all situations

Teamwork: Shares key information with others involved in a project or effort, works in harmony to accomplish objectives, responds with enthusiasm to directives, and shows support for departmental and organizational decisions

Quality: Sets high standards and measures of excellence to ensure quality assurance in every aspect of work performed

Accountability: Takes personal responsibility and ownership for adhering to all company policies and procedures while also completing work timely and in accordance with performance expectations

Customer Service: The ability to demonstrate a series of activities designed to enhance the level of customer satisfaction.

Interpersonal Communication: Writes and speaks effectively based on the psychological, relational, situation, environmental and cultural dynamics within the situation

Manages Change: Demonstrates effectiveness and flexibility with changing environments, responsibilities, tasks, and people

Attention to Detail: Follows detailed procedures to ensure accuracy in the entry and reporting of data.

Problem Solving: Identifies and resolves issues timely by gathering and analyzing information skillfully

Physical Demands

- Maintaining body equilibrium to prevent falling when walking, standing or crouching on narrow or slippery surface.
- Substantial movements (motion) of the wrist, hands, and/or fingers in a repetitive manner
- Uses personal computer approximately 6-7 hours per day
- Uses telephone and email to communicate with clients and other professionals, approximately 2-4 hours per day.
- Sits approximately 6-7 hours per day.
- Exerting up to 20 pounds of force occasionally to lift, carry, pull, or otherwise move objects
- Bending, stooping and reaching several times through a shift.

- Must be able to see clearly with or without corrected vision.
- Ability to drive to and from client locations, this may involve sitting for extended periods of time.
- Manual dexterity sufficient to reach/handle items and work with the fingers
- Close vision (clear vision at 20 inches or less); distance vision (clear vision at 20 feet or more); color vision (ability to identify and distinguish colors)

Work Environment

- Well-lighted, heated and/or air-conditioned indoor office setting with adequate ventilation
- Moderate noise (examples: business office with computers and printers)

Work Hours/Schedule

- Regular – Normal work hours and days assigned based on a work week of at least 40 hours.

Caritas of Austin

Job Description

Job Title:	Accounting Assistant
Department:	Finance
Reports To:	Accounting Manager
FLSA Status:	Non-Exempt

Position Summary

This Accounting Assistant position provides direct client assistance support, processes accounts payable for operational expenses and records cash receipts via an upload from Development. The Accounting Assistant is also responsible for maintaining grant files and vendor files.

This position requires the ability to work well with staff at all levels. As this position is highly interactive with other departments, it will require excellent written and verbal communication skills. Good interaction with other social services agencies and vendors is expected and essential. The candidate must possess excellent organizational skills.

Essential Duties & Responsibilities

1. Process client vouchers.
2. Process accounts payable vouchers and allocate to programs appropriately and accurately.
3. Process staff reimbursement checks.
4. Process cash receipts via an upload from Development.
5. Prepare monthly grant reimbursements for certain grants.
6. Assist with month-end journal entries as needed.
7. File documents on a timely basis.
8. Organize and maintain files.
9. Assist with annual audit and grantor audits.
10. Provide back-up for other Accounting Assistants.
11. Perform other duties as required.

Qualifications

EDUCATION & EXPERIENCE

Bachelors or Associate degree from an accredited college/university with a major in Accounting preferred
Nonprofit experience greatly preferred
Must have dependable transportation.

COMPUTER SKILLS

Must be proficient in Microsoft applications (Excel, Word, Outlook); MIP experience preferred.

Competencies

Job Knowledge/Technical Knowledge: Demonstrates a sound working knowledge of current role and the technical systems, applications and equipment used in performing this role, and understands the impact this role has on other business functions within the organization

Communication: The ability to write and speak effectively using appropriate convention based on the situation; actively listens to others, asks questions to verify understanding, and uses tact and consideration when delivering feedback to others

Organization: Uses time efficiently by prioritizing and planning work activities

Caritas of Austin

Job Description

Integrity and Respect: Demonstrates upmost level of integrity in all instances, and shows respect towards others and towards company principles

Judgment: Demonstrates ability to make independent and sound decisions in all situations

Teamwork: Shares key information with others involved in a project or effort, works in harmony to accomplish objectives, responds with enthusiasm to directives, and shows support for departmental and organizational decisions

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- Sits approximately 6-7 hours per day.
- Exerting up to 20 pounds of force occasionally to lift, carry, pull, or otherwise move objects
- Bending, stooping and reaching several times through a shift.
- Must be able to see clearly with or without corrected vision.
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Work Environment

- Well-lighted, heated and/or air-conditioned indoor office setting with adequate ventilation
- Moderate noise (examples: business office with computers and printers)

Work Hours/Schedule

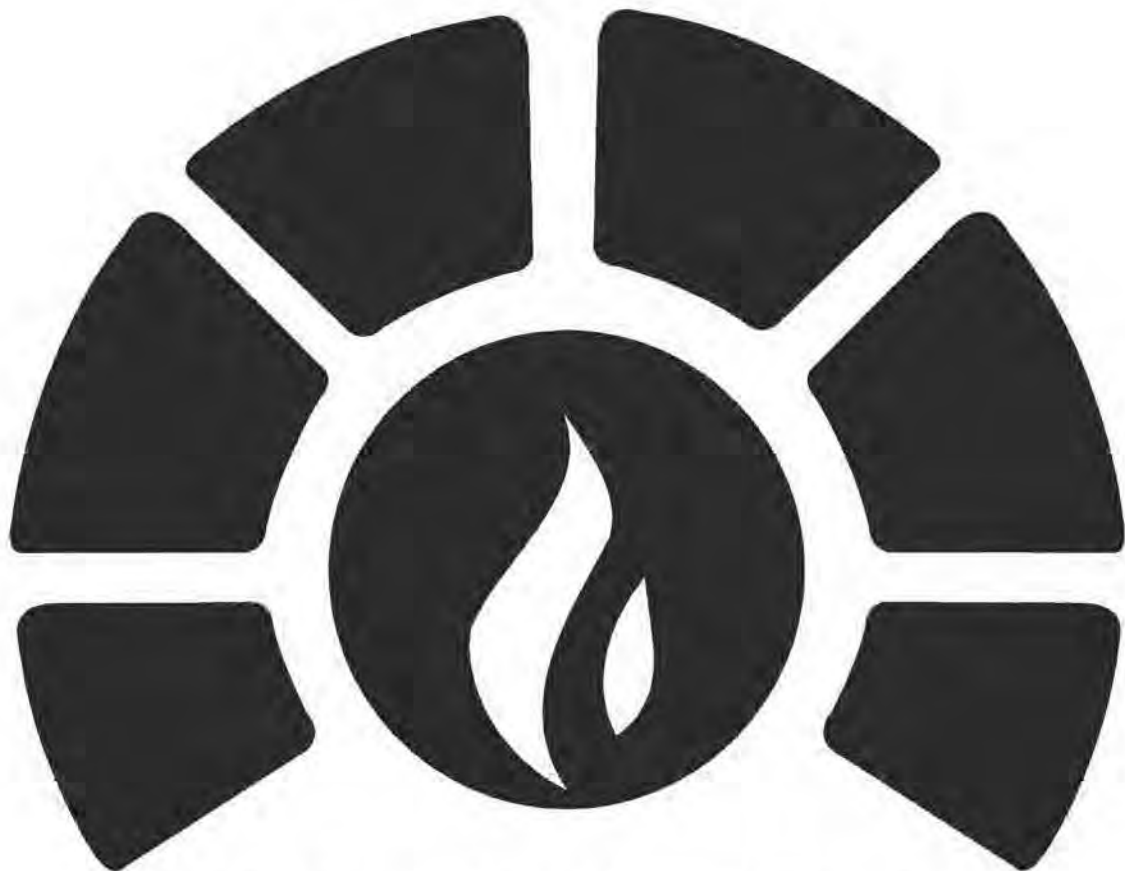
- Regular – Normal work hours and days assigned based on a 40+-hour workweek.

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

Job Description of Contract Program Therapist/Clinical Supervisor and

Contract Nurse



CARITAS

Contract Program Therapist/Clinical Supervisor Job Description

The Program Therapist/Clinical Supervisor plays a crucial role as part of an interdisciplinary team which utilizes intensive case management, individualized therapy, and community care coordination to reintegrate and stabilize individuals who have experienced homelessness. This position requires a masters level therapist with extensive experience in working with individuals that have numerous barriers to maintaining stability such as severe and persistent mental illness, past or current substance abuse, and criminal background. The Clinical Supervisor must have the ability to individualize a service plan with clients and use evidence-based practices to help achieve and maintain stability. The Clinical Supervisor should be familiar with strengths-based practices, harm-reduction models, and theories of Critical Time Intervention.

Essential Functions:

- Upon referral, schedule initial and maintain regular appointment schedule with clients while following an individual service plan of treatment
- Create individual service plans following CTI theory: goals should concentrate on a harm reduction model and utilize a strengths-based approach to address client crisis/barriers while emphasizing client abilities
- Support case management staff as Clinical Supervisor by providing on-going verbal and written progress notes while maintaining client confidentiality.
- Facilitate bi-weekly staffing with case management team for critical case review; provide updates, professional recommendations/interventions, and monitor the implementation of CTI goals
- Support clients in fostering healthy coping strategies to minimize the impact of mental health issues substance abuse on housing stability
- Utilize "Trauma-Informed Care" to engage clients with long history of homelessness in treatment
- Provide case management team with periodic trainings on relevant intervention techniques to strengthen case managers' skills in strengths-based and CTI-oriented techniques
- Demonstrate knowledge of commonly used medications/alternative treatments for mental illness and a willingness to assist clients in coordination of care with other treatment providers

Required Qualifications

- Master's degree in counseling/social work/psychology from an accredited college or university
- Current LPC or LCSW licensure required
- Minimum 3 years clinical care experience
- Experience working with homeless population
- Must be culturally competent
- Must be computer literate in Word, Excel, and able to communicate via email
- General knowledge of social services in the community

Multilingual English/Spanish/ACL preferred

Caritas of Austin

Job Description

Contract Nurse

DEPARTMENT: Housing Services
PROGRAM: Housing Programs
POSITION: Nurse
SUPERVISOR: Housing Programs Manager

GENERAL DESCRIPTION

This position will provide medication education and monitoring for the clients in PSH receiving services funded by the MBHS program.

CRITICAL JOB ELEMENTS

- Assess clients receiving MBHS services for medication monitoring.
- Provide medication education to the clients in MBHS.
- Provide medication monitoring to the clients in MBHS.
- Communicate with physicians of clients in MBHS.
- Provide in-service/training to the Case Managers for clients in MBHS.
- Accurately and timely document the above on each client.
- Communicate with the Case Managers and Program Managers on each above.

Other Duties

- Perform other duties as assigned by Housing Programs Manager.
- Demonstrates an ability to communicate well with diverse populations.
- Treat clients, staff, and the general public with courtesy and respect.

POSITION REQUIREMENTS

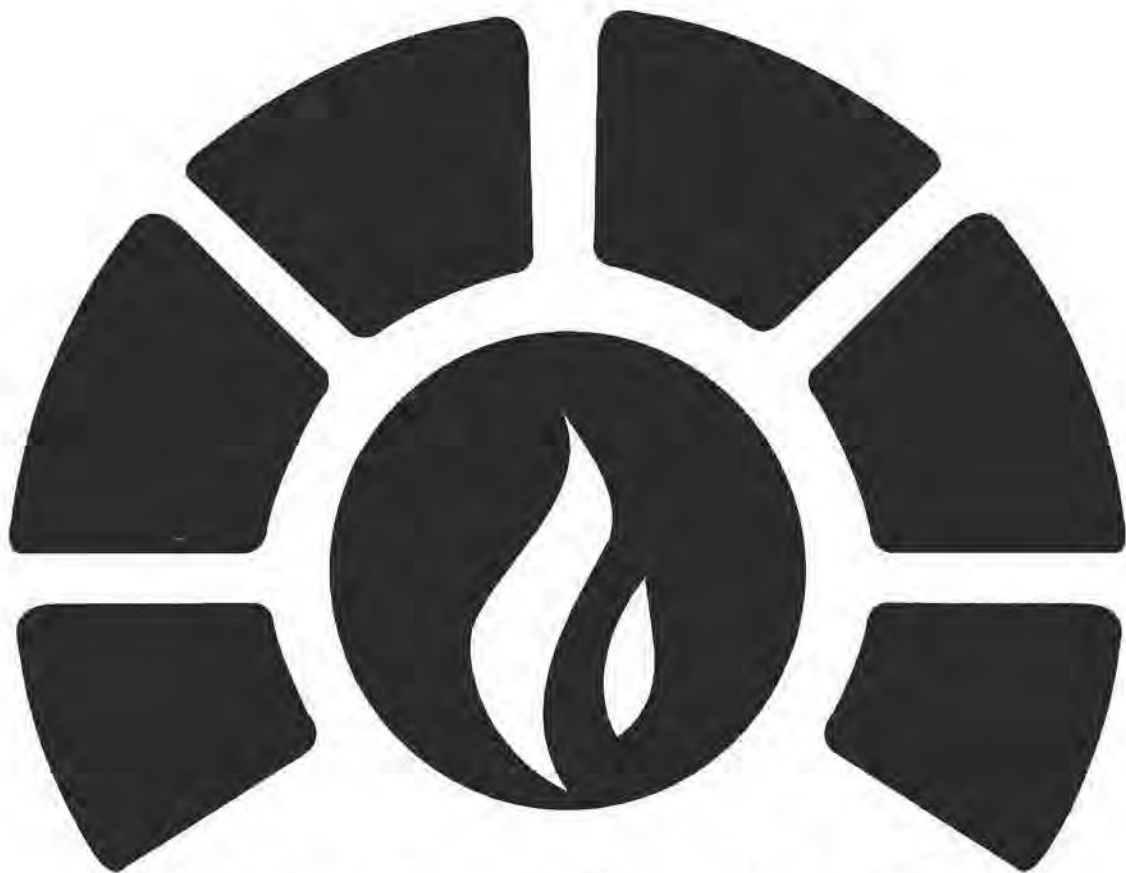
- Certification:** Must be a licensed nurse in the State of Texas, Registered Nurse preferred
- Education:** High School diploma or Bachelor's Degree from an accredited college/university.
- Experience:** Minimum seven years of experience working with individuals with psychiatric diagnosis. Experience with dually diagnosed (mental illness and substance abuse) persons strongly preferred. Well versed on psychiatric medications and side effects. Ability to accurately document and communicate findings to clients and case managers.
- Other:** Dependable transportation; must be computer literate.

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

Resume for the Contract Program Therapist/Clinical Supervisor

Linda Valseca, MA, LPC, LCDC



CARITAS

Linda S. Valseca, MA.,LPC.,LCDC

1823 Fortview Road, Suite 105, Austin , Texas 78704
Home: 512 693 7244 - Cell: 512 736 2787 - lsvalseca@aol.com

Professional Summary

Licensed Professional Counselor, and Licensed Chemical Dependency Counselor. I have extensive training in treating the Dually Diagnosed-Homeless population, using an integrated treatment approach. I have served as Vice Chairman of the Board for the Austin Association Mental Health Consumers. During this time, I have administered evaluations for substance abuse, mental health, learning disabilities in children, adolescents and adults. Not only do I have a diversity of professional skill sets, but am also fluent in Spanish. I Provide services for Spanish speaking populations. Over the years, I have written programs for both prevention and treatment. I have provided trainings in Dual Diagnosis, Motivational Interviewing, and Mental Health statewide. Other trainings include Critical Incident Debriefing, Communication, Anger Management, Relationships, Parenting, Women's Issues and Family Dynamics.

Skill Highlights

- Master's Level Neuro Linguistic Programming.
- Masters in Counseling Psychology
- Biofeedback Therapist
- Eriksonian Hypnosis
- EMDR
- Extensive work and development for programs in incarcerated populations
- Dual Diagnosis training at Medical Conference - Baltimore Md.
- Chronic Pain Management using Biofeedback, Neuro-feedback and Visualization, Hypnosis and EMDR.
- Critical Incident Debriefing
- Extensive training in Psychiatric Disorders

Professional Value Offered

I am a hard-working individual with a vision for the future and new possibilities to make a difference in our emotionally wounded populations. The diversity of training and high levels of motivation offer a sincere and qualified approach to treatment. A contributing factor towards my success with clients, is my ability "To Meet Each Client at His/Her Model of the World"

Work Experience

Owner - Therapist

September 1999 to Current

LSV Therapeutic Solutions Inc. - Austin, Texas

Treating Anxiety, Depression, Addiction, Chronic Pain, Trauma Resolution, Sexual Abuse Trauma, Working with Bi-Lingual clients, and helping clients develop Personal Resources. Co-Developed Curriculum for Life Tools Program (part of Gateway Program), at Travis County Correctional Facility (State Jail - three year period). Ongoing work since 1996 with Caritas of Austin..treating a diversity of populations.

EAP Counseling

September 1999 to Current

Employee Assistance Programs - Nationwide

Family Therapy, Parenting, Depression, Anxiety, Stress Management, Anger Management, Occupational Stress, Etc. Ongoing work with EAP clients.

Dual Diagnosis Clinician - Supervisor

March 1997 to September 2000

Phoenix Houses of Texas - Austin, Texas

Ran Dual Diagnosis Treatment in Travis County, Coordinated Dual Diagnosis services in 7 counties, Coordinated with MHMR (Central Texas Partnership), research program, Co-developed treatment protocol for Level IV DD Treatment, Ran groups for dually diagnosed, Member of Travis County Adult Mental Health Planning Partnership, Member of Austin's Adult CRCG.

Therapist

January 1996 to July 1996

Midland Court Residencial Treatment Center - Midland , Texas

Individual counseling for residents, intakes, testing - SASSI, WRAT, SLOSSON, taught classes (Design for Living) by Hazelden, Lead and co-facilitated groups.

Therapist

January 1993 to July 1996

ACT Counseling Center - Odessa, Texas

Worked with Adults, Children and Adolescents. Provided testing for ADHD (TOVA), used neuro-feedback training for treatment of ADHD. Treated Chemically Dependent population, Treated PTSD, Panic Disorder, Anxiety, Depression, Family Therapy, using Cognitive Behavioral, and Experiential treatment protocols.

Education

BFA, 1971

University of Houston - Houston, Texas

Masters of Neuro Linguistic Programming, 1991

Institute of Neuro Linguistics - Lancaster, Pennsylvania

Eriksonian Hypnosis, 1991

Pennsylvania Institute of Hypnosis - Lancaster, Pennsylvania

Lic. Chemical Dependency Counseling, 1995

Odessa College - Lancaster, Texas

Biofeedback and Neurofeedback, 1994

Stens Corporation - Scottsdale, Arizona

Neurotherapy Training, 1995

North Texas State University - Denton, Texas

Masters in Counseling Psychology, 1996

University of Texas - Odessa , Texas

Advanced EMDR, 1999

Advanced EMDR Institute - San Diego , California

Treatment using Self-Relations Therapy, 2003

Self Relations Therapy Institute - Los Angeles , California

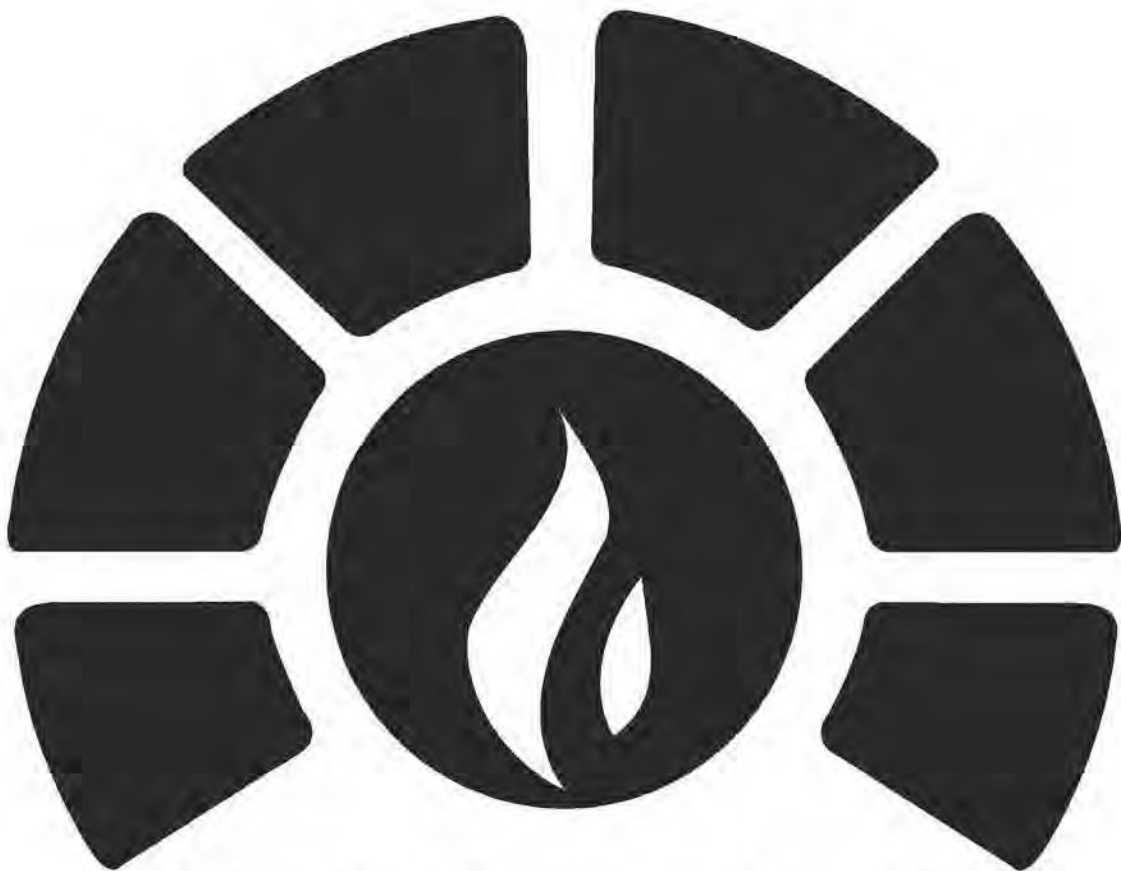
Developmental-Strategic Model of EMDR, 2003

Trauma Institute of EMDR - Austin, Texas

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

Section 0650—Program Budget and Narrative



CARITAS

Section 0650
Program Budget and Narrative

Program's Line Item Budget	EARLY CHILDHOOD Amount	YOUTH Amount	ADULTS & FAMILIES Amount	SENIORS & PERSONS WITH DISABILITIES Amount	Amount Funded by ALL OTHER Sources	TOTAL Budget (ALL funding sources)
PERSONNEL						
1. Salaries plus Benefits			55,057			
A. Subtotals: PERSONNEL			55,057			
OPERATING EXPENSES						
2. General Operating Expenses			24,228			
3. Consultants/ Contractuals			211,220			
4. Staff Travel - <u>Out of Travis County</u>						
5. Conferences/Seminars - <u>Out of Travis County</u>						
B. Subtotals: OPERATING EXPENSES			235,448			
DIRECT ASSISTANCE for PROGRAM CLIENTS						
6. Food/Beverage for Clients						
7. Financial Assistance for Clients						
8. Other Client transportation: bus passes, taxi, etc.			20,000			
C. Subtotals: DIRECT ASSISTANCE			20,000			
CAPITAL OUTLAY (with per Unit Cost <u>over \$5,000/unit</u>)						
9. Capital Outlay			0			
D. Subtotals: CAPITAL OUTLAY			0			
TOTALS						
GRAND TOTALS (A + B + C + D)			310,505			
PERCENT SHARE of Total for Funding Sources:	%	%	100%	%	%	100%

Section 0650 Program Budget and Narrative

Program Subcontractors

SUBCONTRACTOR #1		
Name of Subcontractor	Linda Valseca, LPC, LCDC	
Term of Subcontract (mm/dd/yyyy)	Start date: 10/01/2015	End date: 09/30/2016
Services to be Subcontracted	Professional mental health and substance abuse counseling; interdisciplinary client staffing	
Number of Clients to be Served (if applicable)	45	
Dollar Amounts by Funding Source:		
CITY of AUSTIN amount	ALL OTHER Sources amount	TOTAL
\$83,265	\$ 0	\$ 83,265

SUBCONTRACTOR #2		
Name of Subcontractor	To be determined	
Term of Subcontract (mm/dd/yyyy)	Start date: 10/01/2015	End date: 09/30/2016
Services to be Subcontracted	Professional mental health, substance abuse counseling, interdisciplinary client staffing	
Number of Clients to be Served (if applicable)	15	
Dollar Amounts by Funding Source:		
CITY of AUSTIN amount	ALL OTHER Sources amount	TOTAL
\$27,755	\$ 0	\$ 27,755

SUBCONTRACTOR #3		
Name of Subcontractor	To be determined	
Term of Subcontract (mm/dd/yyyy)	Start date: 10/01/2015	End date: 09/30/2016
Services to be Subcontracted	Psychiatric nursing; psychiatric medication management; interdisciplinary client staffing	
Number of Clients to be Served (if applicable)	30	
Dollar Amounts by Funding Source:		
CITY of AUSTIN amount	ALL OTHER Sources amount	TOTAL
\$ 31,200	\$ 0	\$ 31,200

(If needed for additional subcontracts, copy blocks above to a new page and re-number them accordingly)

Section 0650
Program Budget and Narrative

SUBCONTRACTOR #4		
Name of Subcontractor	To be determined	
Term of Subcontract (mm/dd/yyyy)	Start date: 10/01/2015	End date: 09/30/2016
Services to be Subcontracted	Foreign language and special needs interpretation/translation services	
Number of Clients to be Served (if applicable)	3	
Dollar Amounts by Funding Source:		
<u>CITY of AUSTIN amount</u> \$4,000	<u>ALL OTHER Sources amount</u> \$ 0	<u>TOTAL</u> \$ 4,000

SUBCONTRACTOR #5		
Name of Subcontractor	To be determined	
Term of Subcontract (mm/dd/yyyy)	Start date: 10/01/2015	End date: 09/30/2016
Services to be Subcontracted	Staff training on mental health and substance abuse issues	
Number of Clients to be Served (if applicable)		
Dollar Amounts by Funding Source:		
<u>CITY of AUSTIN amount</u> \$15,000	<u>ALL OTHER Sources amount</u> \$ 0	<u>TOTAL</u> \$ 15,000

SUBCONTRACTOR #6		
Name of Subcontractor	To be determined	
Term of Subcontract (mm/dd/yyyy)	Start date: 10/01/2015	End date: 09/30/2016
Services to be Subcontracted	In- and out-patient substance abuse rehabilitation, excluding detox and medical	
Number of Clients to be Served (if applicable)	4	
Dollar Amounts by Funding Source:		
<u>CITY of AUSTIN amount</u> \$50,000	<u>ALL OTHER Sources amount</u> \$ 0	<u>TOTAL</u> \$ 50,000

Section 0650 Program Budget and Narrative

Program Budget Narrative

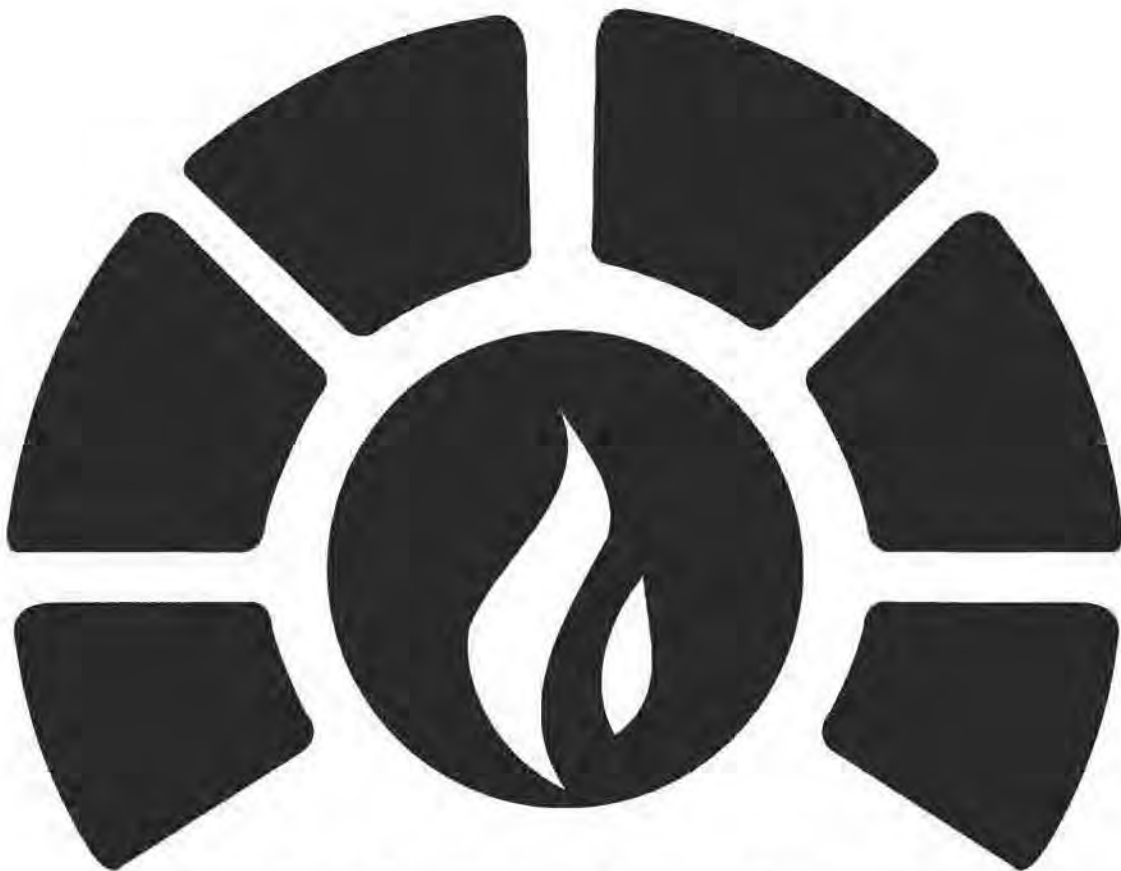
Add details to describe the proposed City expenses from your Program Budget form. Explanations for the "Other Sources" line items are not required.

PERSONNEL	NARRATIVE/ Descriptions
1. Salaries and Benefits	1.38 FTE salaries and fringe benefits (21% rate) for direct service staff, direct service staff supervision/program management, and administrative staff.
OPERATING EXPENSES	
2. General Operating Expenses	Portion of allocated costs, including audit, insurance, utilities, security, etc.
3. Consultants/ Contractuals	Contract mental health/substance abuse counseling services; mental health/substance abuse staff training; in-and out-patient substance abuse rehabilitation, contract psychiatric nurse for client medication management/monitoring; foreign language and special needs translation/interpretation services. Also includes \$1,000 for Case Manager mileage reimbursement to transport clients to counseling, treatment, and/or psychiatric appointments.
4. Staff Travel - <u>OUT of Travis County</u>	
5. Conferences/Seminars/ Training - <u>OUT of Travis County</u>	
DIRECT ASSISTANCE	
6. Food/Beverage for Clients	
7. Financial Assistance for Clients	
8. Other Direct Assistance (must specify)	Cost of public transportation passes and/or taxi vouchers for transporting clients to and from counseling appointments or psychiatric appointments.
CAPITAL OUTLAY	
9. <u>Capital Outlay</u> (must specify)	

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

Section 0655—Program Funding Summary



CARITAS

Section 0655

Program Funding Summary

In *last column*, insert the twelve (12) month funding amount for your proposed program into the corresponding cell. Next clearly list all of your other funding sources for this program, with their corresponding program periods and amounts. Also ensure that the Total Program Funding in the bottom right cell is calculated correctly.

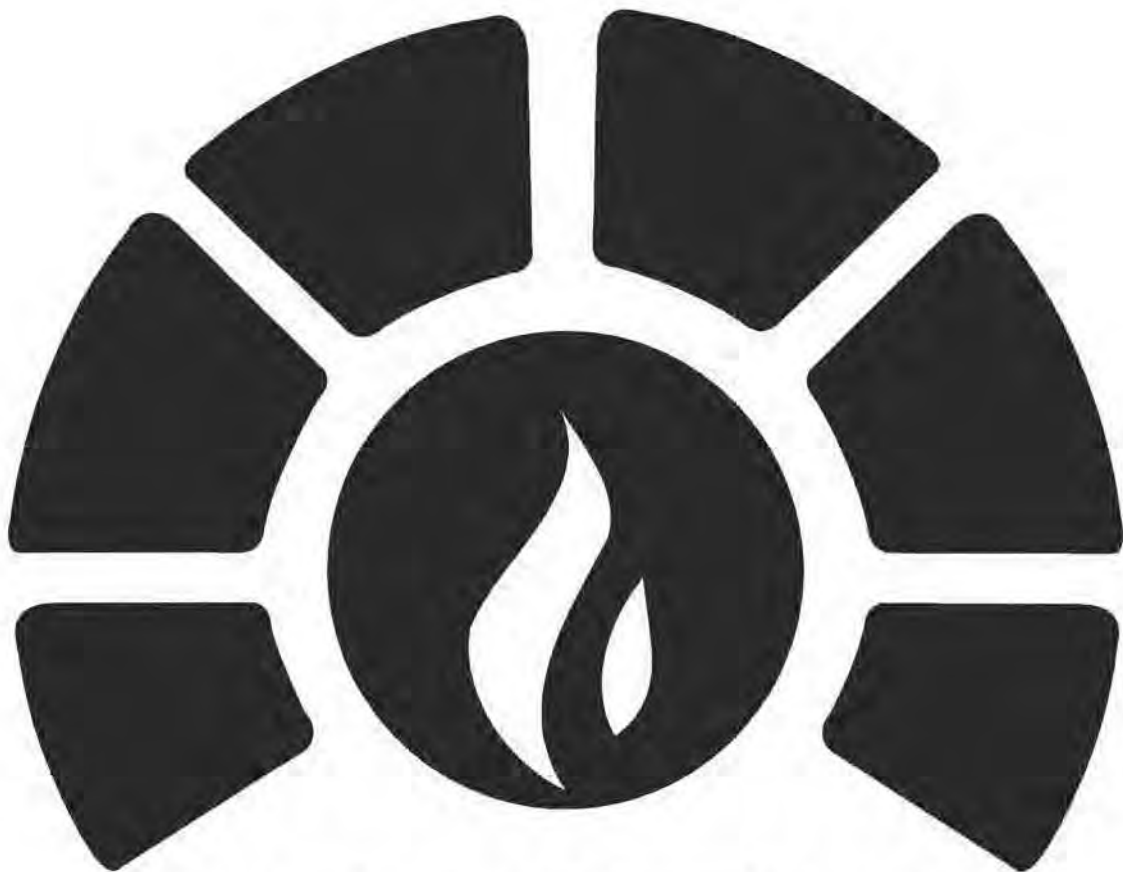
Funding Sources	Grant/Contract Name	Funding Period Start (mm/dd/yyyy)	Funding Period End (mm/dd/yyyy)	Funding Amount
City of Austin	Social Services Contract	10/01/2015	09/30/2016	\$310,505
FUNDING AMOUNT TOTAL:				\$

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

Healthy Service Environment

Approved and Signed Policies



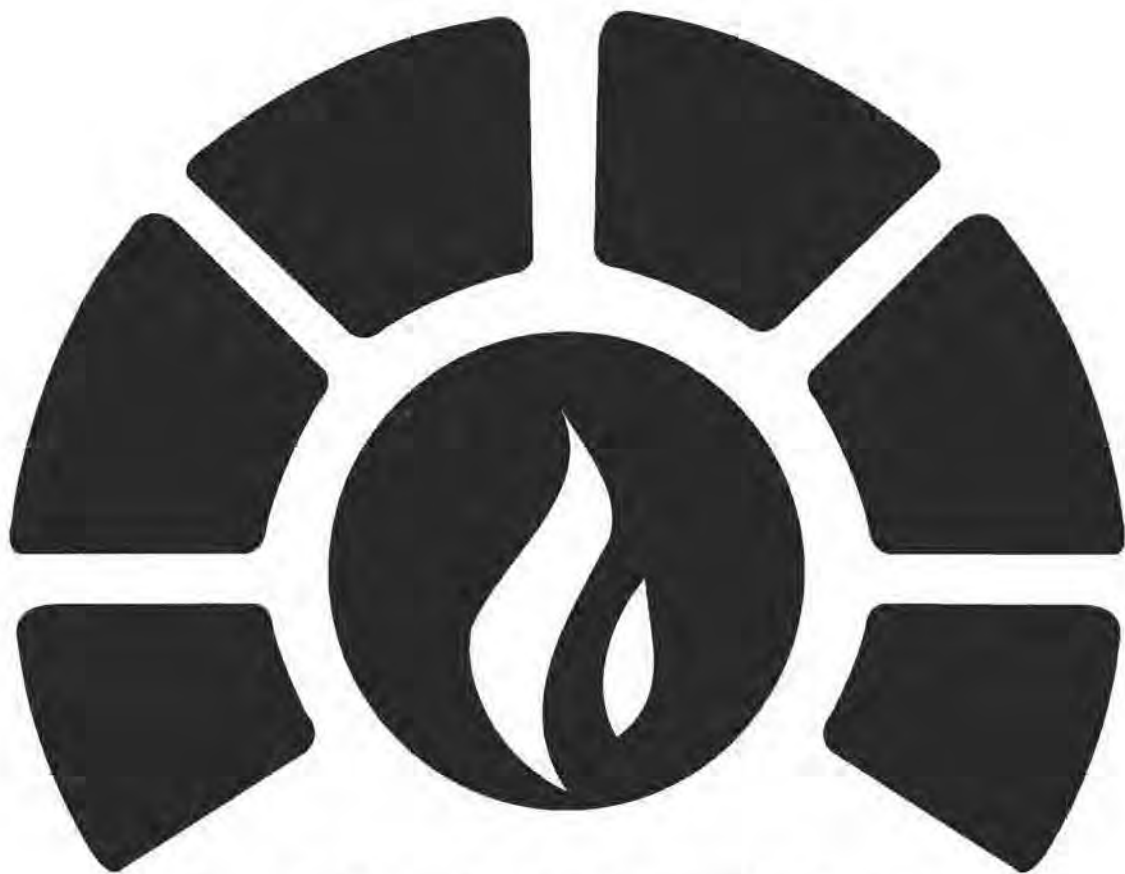
CARITAS

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

Healthy Service Environment

Current Caritas Smoking Policy



CARITAS

Excerpt from Current Employee Handbook

SECTION 8 – SAFE AND HEALTHY WORKING CONDITIONS AND EXPECTATIONS

D. Smoking

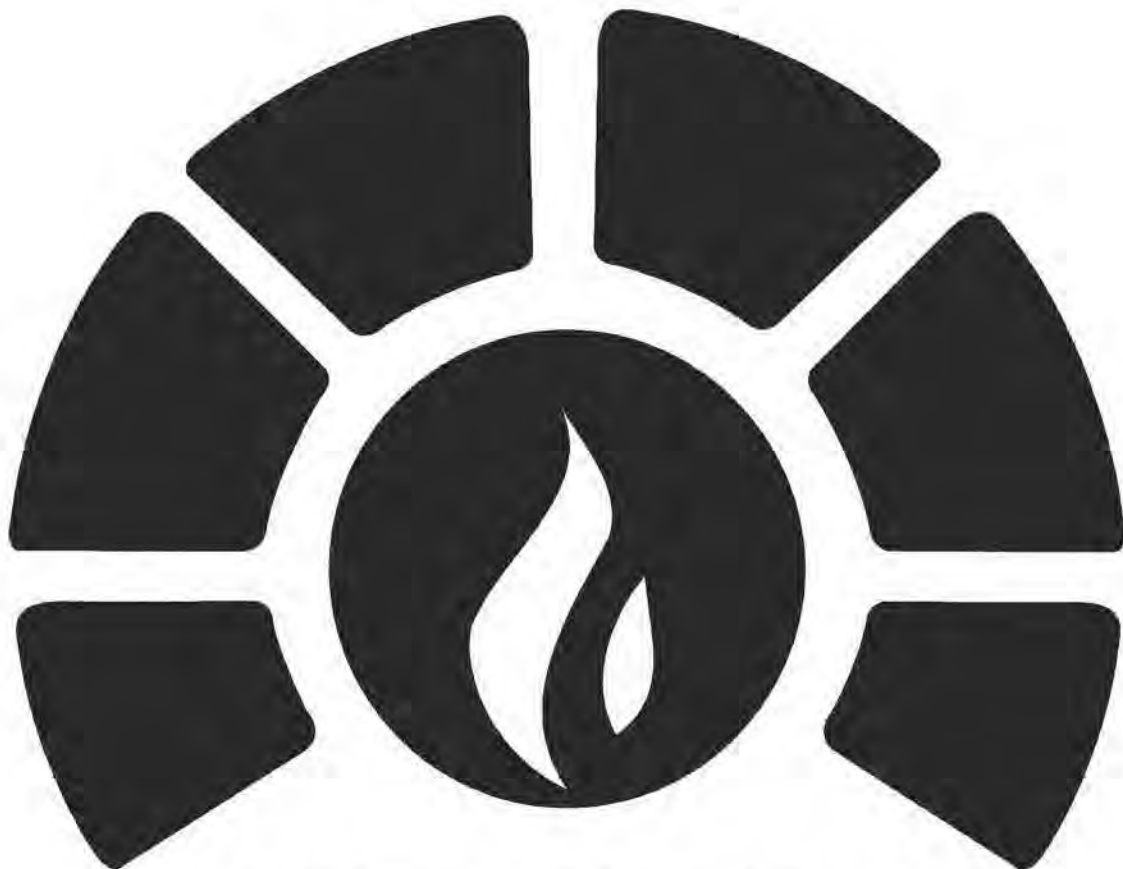
Caritas is a smoke-free environment. Smoking in the 611 Neches building is prohibited. Outside the building, smokers must smoke at least 15 feet from entrances. The back area by the pantry, near the recycling containers is a permanent no smoking area. This will be aggressively enforced by Management.

The above policy is the current policy in our current Employee Handbook.

Approved by Executive Director: _____

A handwritten signature in blue ink, appearing to be "J. Se", is written over the signature line.

Caritas of Austin
Mental and Behavioral Health Services (MBHS)
Healthy Service Environment
Draft Mother-Friendly Workplace Policy



CARITAS



CARITAS OF AUSTIN

Fighting Poverty, Hunger and Homelessness since 1964

Draft **Mother-Friendly Lactation Support Policy** Draft

Overview

Both federal and state law now recognize the importance of providing support in the workplace for mothers who choose to breast-feed their babies. Caritas of Austin (Caritas) recognizes the importance of breastfeeding in regards to maternal and child health. This policy establishes a "Mother-Friendly" employee worksite lactation support program at Caritas in accordance with Texas Health and Safety Code § 165.003. Supervisors are responsible for notifying all employees of this policy.

Purpose

The overwhelming weight of academic and clinical research recognizes the benefits of breast-feeding on the healthy well-being and development of babies. It is our policy that a breastfeeding employee is allowed to express milk during work hours. Caritas will actively promote this desirable goal by establishing a workplace lactation support program for employees who choose to continue breast-feeding after returning to work.

Scope

When an employee requires lactation support, the employee may use her normal meal and compensated break times to express milk. For time needed beyond these usual breaks, the employee may need to use PTO or discuss further options with their manager. Managers will allow work schedule and work pattern flexibility to accommodate a reasonable break time for an employee to express breastmilk for her nursing child, for up to one year after the child's birth.

Policy

Caritas will provide private space, other than a bathroom, that is shielded from view and free from intrusion from coworkers and the public, for the purpose of expressing breastmilk each time such employee needs to express the milk will be provided. The first floor conference room at 611 Neches Street is an example of a private space that may be used.

Breastfeeding employees have access to nearby clean, safe water for washing hands and rinsing breast pump parts.

Employees may store their expressed milk in their own personal coolers with ice pack or in the shared break room refrigerator space. As with any personal food item, handling and supervision of the expressed milk is the sole responsibility of the employee.

Acknowledgement

I have read and understand Caritas of Austin's **Mother-Friendly Lactation Support Policy**.

Employee Name: _____ Date: _____

Employee Signature: _____

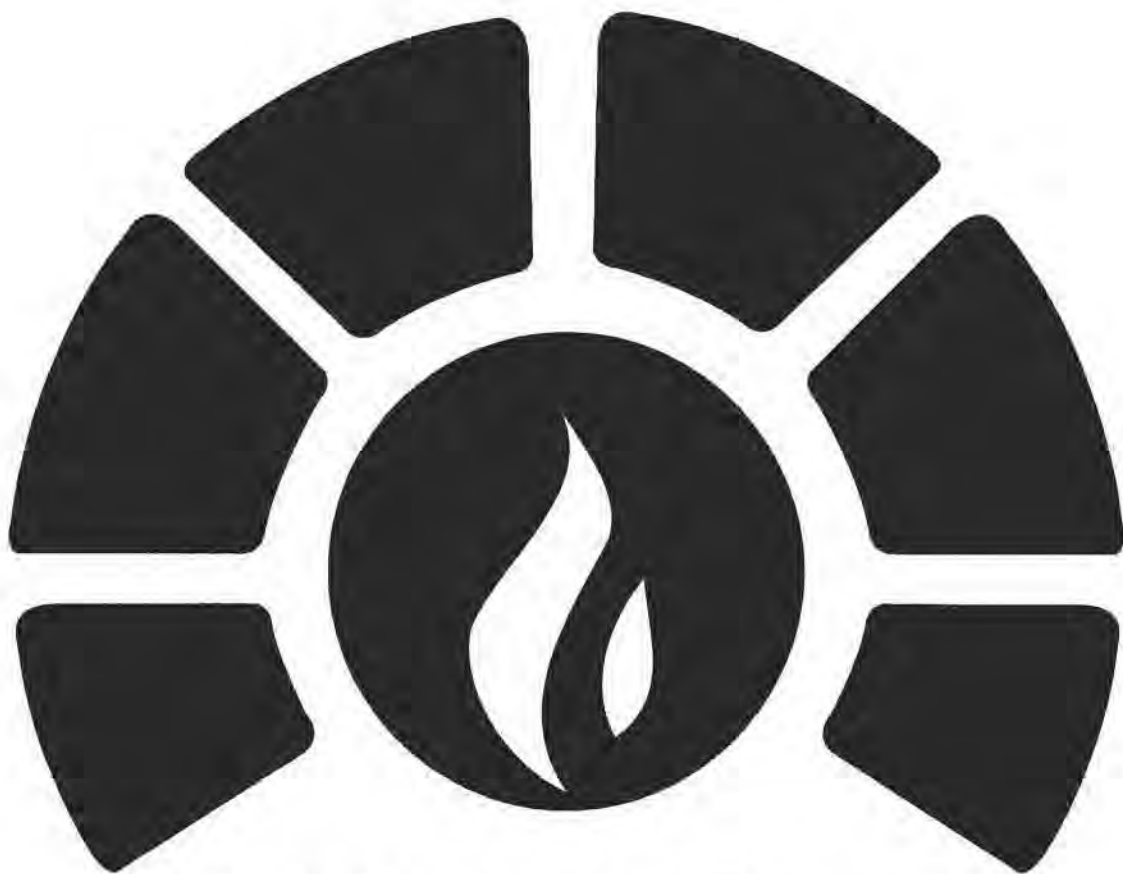
Human Resources Representative: _____

Caritas of Austin

Mental and Behavioral Health Services (MBHS)

Healthy Service Environment

Current Safe and Healthy Working Conditions and Expectations Policy



CARITAS

Excerpt from current Employee Handbook

SECTION 8 – SAFE AND HEALTHY WORKING CONDITIONS AND EXPECTATIONS

Caritas of Austin cares about providing a safe, healthy and respectful work environment for all its employees. While procedures are established to create a safe and supportive environment, they are not effective if all staff do not work together to ensure their effectiveness.

A. Safe Workplace Policy

It is the intent of Caritas of Austin to provide a safe workplace for employees and to provide a comfortable and secure atmosphere for clients, volunteers and visitors. Caritas has a no-tolerance guideline for violent acts or threats.

1. Threats

Caritas of Austin expect all employees to conduct themselves in a non-threatening, non-abusive manner at all times. No direct, conditional or veiled threat of harm to any employee, guest or Caritas of Austin property is considered acceptable behavior. Any employee who commits or threatens to commit a violent act against any person while on Caritas property or off site and on Caritas of Austin business, is subject to immediate discharge.

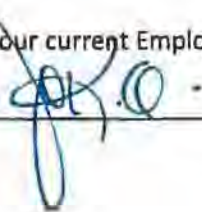
Employees within Caritas share the responsibility in identification and alleviation of threatening or violent behaviors. Any employee who is subjected to or threatened with violence, or who is aware of another individual who has been subjected to or threatened with violence, must immediately report this information to their supervisor or a member of management. Employees should assume that every threat is serious. If you as an individual feel threatened and need protection immediately, call the police at 9-1-1, and alert any supervisor to assist you. You may also alert the security guard onsite by calling the receptionist who will contact the security guard. For threats that are not imminent, report the situation to a supervisor. Any threat reported to a supervisor should be brought to the attention of the Executive Director who will carefully investigate all reports. Employee confidentiality will be maintained to the fullest extent possible.

2. Weapons

Caritas of Austin expressly forbids the possession of weapons of any type on Caritas property. Caritas property includes, but is not limited to, all Caritas of Austin facilities, vehicles and equipment, whether leased or owned by Caritas of Austin. In addition, weapons in employee-owned vehicles for which Caritas has paid the parking are strictly forbidden. The possession of weapons on Caritas property may be cause for discipline including immediate termination of employment. In enforcing this guideline, Caritas reserves the right to request inspections of any employee and their personal effects, including personal vehicles while on Caritas premises. Any employee who refuses to allow inspection will be subject to disciplinary action up to and including termination. All Caritas of Austin employees share the responsibility of identifying violators of this policy. An employee who witnesses or suspects another individual of violating this guideline should immediately report this information to their on-site supervisor.

The above policy is the current policy in our current Employee Handbook.

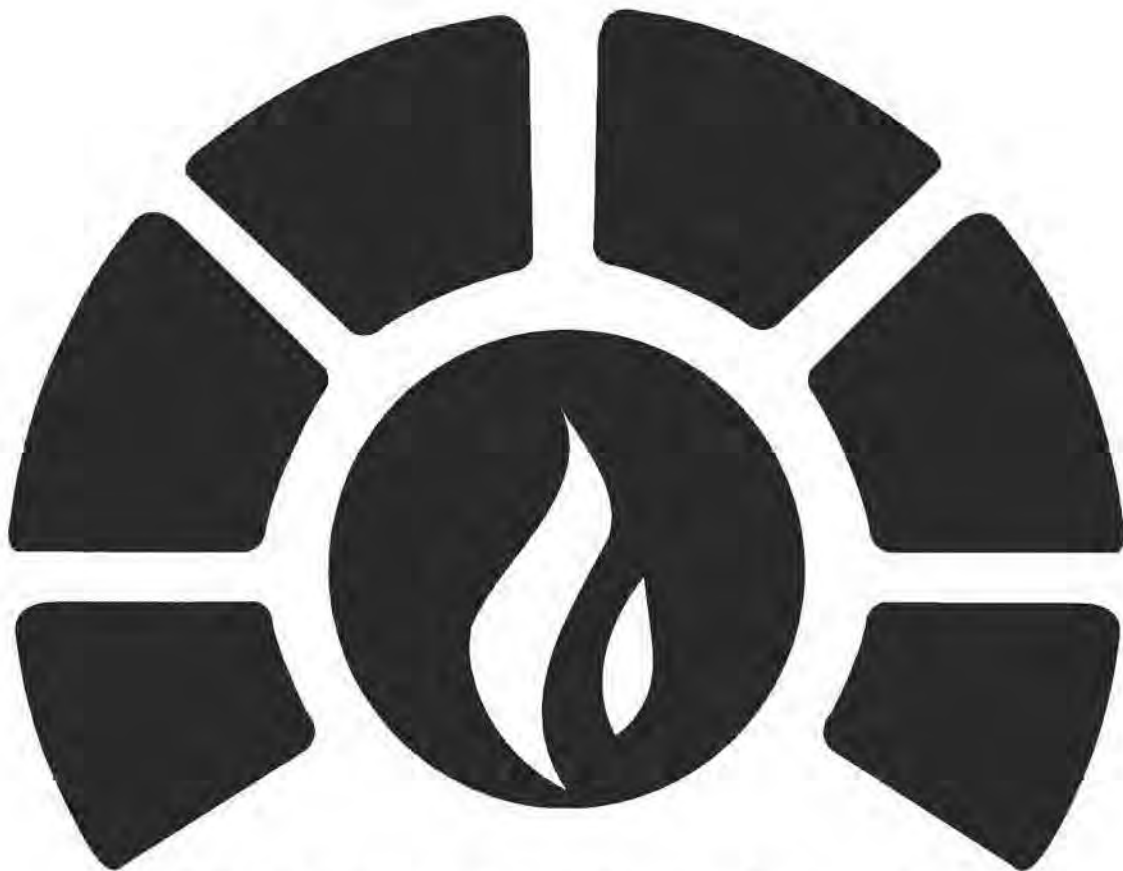
Approved by Executive Director: _____



Caritas of Austin

Mental and Behavioral Health Services (MBHS)

Section 0835—Non-Resident Bidder Information



CARITAS

Section 0835: Non-Resident Bidder Provisions

Company Name Caritas of Austin

- A. Bidder must answer the following questions in accordance with Vernon's Texas Statutes and Codes Annotated Government Code 2252.002, as amended:

Is the Bidder that is making and submitting this Bid a "Resident Bidder" or a "non-resident Bidder"?

Answer: Resident Bidder

- (1) Texas Resident Bidder- A Bidder whose principle place of business is in Texas and includes a Contractor whose ultimate parent company or majority owner has its principal place of business in Texas.
(2) Nonresident Bidder- A Bidder who is not a Texas Resident Bidder.

- B. If the Bidder is a "Nonresident Bidder" does the state, in which the Nonresident Bidder's principal place of business is located, have a law requiring a Nonresident Bidder of that state to bid a certain amount or percentage under the Bid of a Resident Bidder of that state in order for the nonresident Bidder of that state to be awarded a Contract on such bid in said state?

Answer: Does not apply Which State: Does not apply

- C. If the answer to Question B is "yes", then what amount or percentage must a Texas Resident Bidder bid under the bid price of a Resident Bidder of that state in order to be awarded a Contract on such bid in said state?

Answer: Does not apply